Thomas Nenon
Philip Blosser
Editors

Advancing Phenomenology

Essays in Honor of Lester Embree

Springer

ADVANCING PHENOMENOLOGY

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ADVANCING PHENOMENOLOGY

Essays in Honor of Lester Embree

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Lester Embree (right) discussing phenomenology

Contents

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Fred Kersten   (Ph.D. New School for Social Research) is Professor Emeritus in Philosophy at the University of Wisconsin, Green Bay. He is the author of

Phenomenological Method: Theory and Practice (Dordrecht: Kluwer, 1989) and *Galileo and the Invention of Opera: A Study in the Phenomenology of Consciousness* (Dordrecht: Kluwer, 2001) and translator of Husserls *Ideas I*.

Rosemary R.P. Lerner   (Ph.D. Catholic University of Louvain) is Philosophy Professor at the Pontifical Catholic University of Peru, Co-ordinator of its Graduate School's Doctorate Program, and in charge of several courses and seminars mostly on Modern (Leibniz and Kant) and Contemporary Philosophy, especially Husserlian phenomenology. She is editor, among others, of *Interpreting the Experience of Tolerance* (2007), of the *Acta fenomenológica latinoamericana* (2005, 2007, and 2009), and of the Journal *Estudios de filosofia* (volumes 3–6). She has published numerous papers mostly dealing with Husserlian phenomenology, theory of knowledge, and ethics.

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William McKenna   studied with Aron Gurwitsch at the Graduate Faculty of the New School for Social Research, where he received his Ph.D. in 1980. He is presently Professor of Philosophy and Chair of the Department of Philosophy at Miami University (Ohio). He was Editor of the book series *Contributions to Phenomenology* from 1986 to 1995 and Editor of *Husserl Studies* from 1993 to 2007. He is the author of *Husserl's "Introductions to Phenomenology"* and numerous articles on Husserl. His recent research interests and publications concern developing a phenomenological theory of "relative truth" and "situated objectivity" and the application of this theory to conflict resolution.

Ullrich Melle   is Professor at the Higher Institute of Philosophy at Katholike Universitaet Leuven, Belgium, and Director of the Husserl-Archives that is located there. He is a well-known expert on Husserl's ethics, and on environmental philosophy and ethics and has published numerous articles in those fields. He is also the editor of volume 20 of the *Husserliana* series (Edmund Husserl (2005). *Logische Untersuchungen. Ergänzungsband. 2. Teil: Texte für die Neufassung der VI. Untersuchung. Zur Phänomenologie des Ausdrucks und der Erkenntnis (1893/94–1921)* (Dordrecht: Springer, 2005)) and vol. 28 of the same series Vorlesungen über Ethik und Wertlehre 1908–1914 (Dordrecht: Kluwer, 1988).

Daniel Marcelle   received his M.A. and Ph.D. from the Katholieke Universiteit Leuven finishing his studies in 2009. For his M.A., he worked on Levinas, Husserl, and Heidegger concerning the phenomenological reduction. For his Ph.D., he worked on Aron Gurwitsch's critique and continuation of Husserlian phenomenology according to his adoption of a Gestalt theoretic understanding of organization. He has strong interests in Gestalt theory, psychological phenomenology,

phenomenological method, and phenomenological aesthetics, and has published in each of these areas. He is presently the William F. Dietrich Research Fellow in Philosophy at Florida Atlantic University.

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NASU Hisashi (Ph.D. Waseda University) is Professor of Sociology at Waseda University in Tokyo, Japan and Director of the Alfred Schutz Archive at Waseda University. He has published and edited a number of books and articles concerning phenomenological sociology, sociology of knowledge, and grass root movements including *Explortions of the Life World: Continuing Dialogue with Alfred Schutz* (2005, co-edited with M. Endress, G. Psathas) and *Alfred Schutz and His Intellectual Partners* (2009, co-edited with L. Embree, G. Psathas, I. Srubar). He is also a co-translator into Japanese of Alfred Schutz's *Collected Papers* volumes 1–3 and *Reflections on the Problem of Relevance*.

Thomas Nenon (Ph.D., University of Freiburg) is Professor of Philosophy and Vice Provost for Assessment, Institutional Research, and Reporting at the University of Memphis. He worked as an editor at the Husserl-Archives and instructor at the University of Freiburg before coming to University of Memphis. His teaching and research interests include Husserl, Heidegger, Kant and German Idealism, hermeneutics and the philosophy of the social sciences. He has published numerous articles in those areas as well as the book *Objektivität und endliche Erkenntnis* (Freiburg: Alber, 1986) and as co-editor (along with Hans Rainer Sepp) volumes XXV and XXVII of the *Husserliana*. He has served as review editor for *Husserl Studies*, as a member of the Executive Committee of the Society for Phenomenology and Existential Philosophy, as Director of the Center for the Humanities, and is President of CARP. His current research interests include Husserl's theories of personhood and subjectivity and Kant's and Hegel's practical philosophy.

Maria-Luz Pintos received her doctorate in philosophy from the University of Santiago of Compostela, Spain, with a thesis on Merleau-Ponty. She has also taught at this University since 1979 and is a full professor. Her research is rooted in phenomenology. Husserl has been her main source, but she has also studied Heidegger, Fink and Gurwitsch as well as Merleau-Ponty. Two lines of investigation relate to the essay contributed to this volume: (a) since 1997 and on the basis of the Finkean division of the three *egos*, she has applied phenomenological method to

contemporary issues including justice, human and nonhuman animals, humans and vegetables, feminism, the globalization of culture, bellicosity, immigration, racism, and eco-phenomenology, and (b) the phenomenology of corporality and emotion.

Luis Román Rabanaque   (Ph.D., University of Buenos Aires, 1995) is Professor of Contemporary Philosophy at the Universidad Católica Argentina, Buenos Aires, and researcher at the Consejo Nacional de Investigaciones Científicas y Técnicas (CONICET). His current areas of interest are Husserl's phenomenology of noema, body and language. He is author of "Niveles y estratos noemáticos y la idealidad del sentido", *Escritos de filosofía* 43 (Buenos Aires: 2003): 321–334; "Hyle Genesis and Noema", *Husserl Studies* 19 (2003): 205–215; "Percepción y juicio en el análisis genético de Husserl y los grados noemáticos de idealidad", *Anuario Filosófico* 37/1 (Pamplona: 2004): 105–127; "Why The Noema?", *Phenomenology 2005.* volume III (Bucarest: Zeta Books, 2007): 447–465; "The Body as Noematic Bridge between Nature and Culture", in: Pol Vandervelde and Sebastian Luft (eds.), *Phenomenology, Archaeology, Ethics: Current Investigations of Husserl's Corpus* (London & New York: Continuum Press, 2010). He is member of CLAFEN, the Husserl Circle, and also of the Advisory Board of the series *Phenomenological Workshop Texts* (Zeta Books). He has translated some of Lester Embree's recent books and papers into Castilian.

Thomas M. Seebohm   is Professsor Emeritus at the Johannes-Gutenberg-Universität in Mainz, Germany. Prior to his appointment as Professor Ordinarius in Mainz, he also served as Professor of Philosophy at Penn State University. He is recognized as one of the world leading experts on hermeneutics, phenomenology, and the philosophy of logic, and on Kant, German Idealism, and Russian philosophy. His books include *Die Bedingungen der Möglichkeit der Transzendentalphilosophie* (Bonn: Bouvier, 1961); *Zur Kritik der hermeneutischen Vernunft* (Bonn: Bouvier, 1972); *Ratio und Charisma* (Mainz: Mainzer Philosophische Forschungen, 1977); *Philosophie der Logik* (Freiburg: Alber, 1984); and *Hermeneutics. Method and Methodology* (Dordrecht: Kluwer, 2004).

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TANI Toru   (Ph.D. Tohoku University 1998) is professor of philosophy at Ritsumeikan University in Kyoto, Japan. His primary research interest is Husserlian

phenomenology, especially the problem of primary passivity, and in probing the threshold of the possibility/impossibility of experience. He is the author of Ishik no Shizen (*The Physis of Consciousness*, 1998), Korega Genshogaku Da (*This Is Phenomenology*, 2002), and numerous other titles in Japanes. He has also translated various phenomenological studies into Japnese, including Husserl's four manuscripts for the *Encyclopedia Brittanica* article. Western language papers include "Heimat und das Fremde" (1993), "Inquiry into the I, Disclosedness, and Self-consciousness – Husserl, Heidegger, Nishida" (1998), and "Zeichen, Gegenwart und Ich" (2002).

Ted Toadvine   is Associate Professor of Philosophy and Environmental Studies at the University of Oregon, where he currently holds the Robert F. and Evelyn Nelson Wulf Professorship in the Humanities and is a Resident Scholar in the Wayne Morse Center for Law & Politics. Toadvine's research interests include phenomenology, post-structuralism, and environmental philosophy, including the ethics, aesthetics, and history of concepts of nature. He is the author of *Merleau-Ponty's Philosophy of Nature* (Northwestern, 2009) and the editor or translator of six books, including *Nature's Edge: Boundary Explorations in Ecological Theory and Practice* (SUNY, 2007). Toadvine directs the Series in Continental Thought at Ohio University Press, is managing editor of the journal *Environmental Philosophy*, and is a Director of the Center for Advanced Research in Phenomenology, Inc.

Roberto J. Walton   (Ph.D., University of Buenos Aires, 1974) is Professor of Theory of Knowledge at the University of Buenos Aires. He is author of *Mundo, conciencia, temporalidad* (1993), *El fenómeno y sus configuraciones* (1993), and a number of articles mainly on Husserlian phenomenology. His current interests are in levels and dimensions in the analysis of horizonedness. He is head of the Center for Philosophical Studies at the National Academy of Sciences in Buenos Aires, and member of the advisory boards of *Orbis Phaenomenologicus*, *Husserl Studies*, *Investigaciones fenomenológicas*, *Acta Fenomenológica Latinoamericana*, and *Phainomenon*.

YU Chung-Chi   born 1961, Ph.D. (Bochum, 1996) is currently Professor of Philosophy in National Sun Yat-Sen University on Taiwan. His major fields are social and cultural theory in phenomenology, philosophy of religion as well as ethics. In recent years he concentrated on Phenomenological Psychology of Husserl and Schutz.

Richard M. Zaner   retired in 2002 as Ann Geddes Stahlman Professor Emeritus of Medical Ethics and Philosophy of Medicine, Vanderbilt University School of Medicine. He received his Ph.D. at the New School and taught at a number of universities and colleges before coming to Vanderbilt in 1981. He was the founder (1982) and Director (1982–2000) of The Center for Clinical and Research Ethics, and he served as Clinical Ethicist and Director (1982–98) of the Clinical Ethics Consultation Service for Vanderbilt Hospitals. He held secondary appointments in the Department of Philosophy; Graduate Department of Religion; the Divinity School; School of Nursing; and adjunct in the Kennedy Center for Research in Education and Human Development, where he co-founded the Ethics Service for Researchers.

His scholarly interests are mainly concerned with continuing the development of the phenomenological approach to (individual and social) human life. Since 1971, his work has pursued that goal through working out the essential features of a philosophy of medicine and of biomedical research, and to establishing the basis and practical features of ethics and philosophy that are responsive to the needs and issues within clinical encounters and research contexts, and the institutional contexts which frame them, in order to encourage responsible dialogue about their moral and philosophical dimensions. He has written well over a hundred articles and book chapters on these subjects and published thirteen original books, including *The Problem of Embodiment: Some Contributions to a Phenomenology of the Body,* Phaenomenologica 17 (1964; 1972), *The Way of Phenomenology* (1970), *The Context of Self* (1981), and *Ethics and the Clinical Encounter* (1988). His first collection of clinical ethics narratives, *Troubled Voices*, was selected Outstanding Academic Books of 1994 by *Choice*; both it and his second book of narratives, *Conversations on the Edge* (Georgetown University Press, 2004), are translated into Chinese. His most recent book, *Voices and Visions: Clinical Listening, Narrative Writing*, was published in Chinese by National Cheng-Chi University Press Taipei, Taiwan (2009).

Antonio Zirión Q.   (Ph.D. in Philosophy at UNAM (National Autonomous University of Mexico) has served as Professor at UNAM from 1980 until 1997, and at the Michoacana University (Morelia) since 1997. He has also served as Academic Technician at the Institute of Philosophical Research (UNAM) since 1984, and since 2003 as coordinator of the book series Serie Fenomenología for the editorial house *Jitanjáfora* Morelia Editorial. Since 1991 has developed the project of a *Husserl Dictionary* (www.diccionariohusserl.org), and from 1992 has directed the *Glossary-Guide for Translating Husserl* (www.ggthusserl.org). He has published, as coauthor, *La muerte en el pensamiento de Albert Camus* (*Death in the Thought of Albert Camus,* 1981), *Fragmentos del poema* (*Fragments of The Poem*, 1982), *Historia de la fenomenología en México* (*History of Phenomenology in Mexico,* 2003), and *La fenomenología en México. Historia y Antología* (*Phenomenology in Mexico. History and* Anthology, 2009), as well as several essays and articles on the introduction to phenomenology and the spread of Husserl's thought. He compiled the *Actualidad de Husserl* (*Actuality of Husserl*, 1989). and translated Husserl's, *conferencias de París* (*The Paris Lectures*, 1988), *El artículo de la Enciclopedia Británica* (*The Encyclopedia Britannica Article*, 1990), *Ideas* II (1997), and is preparing a new translation of *Ideas* I. Since 1997 he has coordinated the edition of the *Complete Works* by José Gaos at UNAM. He is a Founding Member of the Círculo Latinoamericano de Fenomenología, coordinates the activities of the Círculo in Mexico, and manages its "Electronic Site" (www.clafen.org).

Introduction

Philip Blosser and Thomas Nenon

The essays in the volume were assembled in honor of Lester Embree, who celebrated his 70th birthday on January 9, 2008. A preview of this volume was presented to Professor Embree at a reception sponsored by the Center for Advanced Research in Phenomenology that was held in his honor at the 2008 meeting of the Husserl Circle at Marquette University in Milwaukee, Wisconsin.

The title *Advancing Phenomenology* is purposely ambiguous. On the one hand, these essays document the progress that phenomenology as an ongoing and vibrant movement has made in the period of over a century since its inception. They illustrate the advance of phenomenology both in terms of the range of topics represented in this volume and in terms of the disciplinary and geographical diversity of the scholars who have contributed to it. The topics range from scholarly appropriations of past achievements in phenomenology, to concrete phenomenological investigations into ethics, gender, and environmental philosophy, as well as phenomenological reflections on the foundations of disciplines outside philosophy such as psychology, history, the social sciences, and archeology. The contributors come both from philosophy departments and from a number disciplines outside of philosophy such as sociology, psychology, and archeology; and they come from all around the world – from North America, from Western and Eastern Europe, from Latin America, and from several different countries in Asia. Together, these essays testify to the breadth and geographical reach of phenomenology at the beginning of the twenty-first century. We also believe that they provide good evidence of the seriousness and fruitfulness of current research in phenomenology today.

As many of these essays document in their footnotes and references, Lester Embree's scholarly contributions have been influential in this regard. Two the essays in this volume (Marcelle, pp. 195–220 and Nenon, pp. 455–462) discuss in

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some detail how Embree's organizational skills and energies have also been crucial in maintaining and expanding the phenomenological tradition across disciplines and across national and continental boundaries. Hence, the title for this volume was also chosen in light of the crucial role that Embree has played over the last three decades in advancing phenomenology as one of the twentieth and twenty-first centuries' leading intellectual traditions and research methods and in bringing together scholars and younger researchers from around the world and from across disciplines to share their insights and to work together to continue the important traditional of phenomenological work.

The volume begins with the essay from Thomas Seebohm, who sets the stage for the subsequent essays by locating the unique contribution of phenomenology as a positive alternative to what seemed to be the exclusive disjuncts in philosophical approaches at the beginning of the twentieth century, both of which – naturalism and historicism – were inappropriately reductive and did not allow for a proper recognition of the wide variety of the kinds of objects and kinds of knowledge that philosophical approaches must be able to accommodate if they are to be consistent with the experiences of our daily lives. The articles by Sepp, Rabanaque, Zirión, Tani, Li, and Behnke then address key issues in phenomenological methodology and practice as developed by Husserl by undertaking phenomenological analyses to try to clarify these issues and providing independent justification for them as important tools for continued work in the phenomenological tradition. McKenna, Walton, and Lerner also take Husserlian texts as their starting points for discussions of specific classic philosophical issues, namely perception, worldhood, and alterity, examining the phenomenological evidence underlying the positions presented in those texts to argue for the cogency of those insights.

The subsequent essays recall that the phenomenological tradition includes figures other than Husserl, for instance Moran's essay on Husserl and Merleau-Ponty on embodied experience, Marcelle's essay on Gestalt-theory in Husserl and Gurwitsch, Depraz's essay on Levinas and Merleau-Ponty in light of Jonas, Lee's essay on Husserl and Hambermas, and Blosser's essay on Scheler's phenomenological ethics. They also serve to remind us that phenomenology has profound implications not just for issues in theoretical philosophy, but also for issues in practical philosophy and for ethics in areas outside of philosophy.

Much of Embree's own work was devoted to the cultivation of phenomenology as a methodological approach and a tradition that could contribute significantly to disciplines other than academic philosophy. Zaner's contribution is a good example of the way that he has used phenomenological concepts and methods to develop some of the most original and important approaches to questions in what is often called "biomedical ethics" or in the ethics of care-giving within the medical professions for several decades now. Ion Copoeru from Romania recounts how a phenomenological approach has proven helpful in the reform of judicial practice in light of the recent revolutionary changes in his country. Another more recent development within the phenomenological tradition is the application of phenomenological insights and approaches to address problems in environmental theory and environmental ethics. The contributions by Pintos, Toadvine, and Melle represent fine examples of such work in this area.

The influence of phenomenology in other disciplines is also illustrated well in the essays by Casey in phenomenological work in architecture, by Brown on the theory of archeology, and by Yu and Nasu on Schutz's phenomenological work in the social sciences. Michael Barber's essay is a good example of another recent trend in phenomenological work, namely an attempt to establish a dialogue between work in the phenomenological tradition and recent work in analytical philosophy. Finally, Nenon's article provides an overview of Lester Embree's practical contributions to phenomenology, Kersten's contribution of a letter from the man who was perhaps Embree's most influential teacher, namely Dorion Cairns, along with a brief commentary on it, and a copy of Lester Embree's curriculum vitae through 2008 that documents his extensive publication and service record, round out the volume by helping locate Embree's own work over the course of a long career within this ongoing tradition that he has done so much to advance.

It is worth noting that the list of the contributors to this volume also provides an indication of many of Embree's direct personal contacts throughout his career, something that is appropriate and common for a scholarly volume that also functions as a *Festschrift*. Fred Kersten, Richard Zaner, and Bill McKenna were fellow students with Embree at the New School during what recently been called its "Golden Age."[1] "Kersten" and Zaner were also involved in the founding of the Center for Advanced Research in Phenomenology, with Zaner serving as its first president. William McKenna, Thomas Seebohm, Elizabeth Behnke, Thomas Nenon, Rosemary Rizo-Patron Lerner, and Dermot Moran later joined CARP as members of its Board of Directors, and Nenon succeeded Embree as its President. Philip Blosser and Timothy Casey were doctoral students who completed their degrees under Embree's supervision at Duquesne University. Ted Toadvine and Daniel Marcelle served in a post-doctoral capacity as research assistants at Florida Atlantic University, assisting him in the editions and professional service activities described in Nenon's article below. Clifford Brown is a colleague at Florida Atlantic University. Michael Barber's leading role in recent scholarship on Alfred Schutz has brought him into contact with Embree in a number of capacities. As mentioned above and in Nenon's essay below, one of Embree's leading contributions over the past decade has been his role in establishing contacts between leading practitioners of phenomenology and phenomenological philosophy, and phenomenological approaches to other disciplines around the world. This has led to close collaborations and scholarly discussions with the colleagues from the many different countries whose work is also represented in this volume: Rosemary Rizo-Patron Lerner from Peru, María-Luz Pintos from Spain, Antonio Zirión from Mexico, Roberto Walton and Luis Rabanaque from Argentina, Ion Copoeru from Romania, Natalie Depraz from France, Hans Rainer Sepp from Germany and the Czech Republic, Ullrich Melle from Belgium and Germany, TANI Toru and NASU

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[1] See the volume *The Golden Age of Phenomenology at the New School for Social Research.*

Hisashi from Japan, LEE Nam-in from Korea, YU Chung-chi from Taiwan, and LI Zhongwei from China. Rabanaque also translated Embree's *Reflective Analysis*[2] into Castillian.

In this way, the contributions to this volume are designed to document the breadth and vibrancy of the phenomenological tradition as it continues to advance in the twenty-first century and the important role that Lester Embree has played and continues to play in advancing phenomenological work through his scholarly and investigative publications and his practical efforts that have been so crucial in fostering this development.

[2]Bucharest: *Zetabooks*, 2003.

Part I
The Backdrop to Husserl's Phenomenology

Naturalism, Historism, and Phenomenology

Thomas M. Seebohm

1 Preliminaries

According to a generally accepted thesis, science and metaphysics are separate intellectual activities. The thesis is new and not generally accepted in the philosophical systems of Classical Antiquity, the Middle Ages, and the first centuries in the development of the modern philosophy. The thesis presupposes the existence of sciences and their methodologies. Natural sciences in the modern sense exist since the sixteenth century, human sciences since the first half of the nineteenth century, and formal sciences since the end of the nineteenth century. Only the relation between the natural and the human sciences as empirical sciences are of interest for this investigation. Systematic reflections on the methodologies of the natural sciences emerge in the first half of the nineteenth and of the human and the formal sciences since the second half of the nineteenth century. Before proceeding, two key concepts need preliminary clarification, namely (a) methodology and (b) ontology.

(a) A methodology is more than a reflection on a set of rules or methods. All human activities with goals that can be shared intersubjectively follow certain rules. The criterion for their intersubjective acceptance is for practical activities the principle of trial and error. But also activities like playing games, writing poems, composing music etc., are guided by collections of rules. Sciences need methodologies for the justification of their claim that their methods lead to objectively valid knowledge. This claim must be justified. The task of methodologies is to provide the justification.

(b) Ontology is derived from Greek but not a technical term in Greek or in medieval philosophy. It is a technical term in the school-metaphysics of the eighteenth century. Metaphysics has two branches, general metaphysics or ontology and special metaphysics. General metaphysics or ontology is the theory of the basic structures, i.e., the categories that all real beings have in common.

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Prima facie methodology belongs to epistemology and ontology. Thus both have been strictly separated in the history of modern philosophy. Nevertheless, on the one hand, most scientists in the natural sciences and philosophers interested in the methodology natural sciences have had a certain preference for materialistic onto-logical doctrines. Thus mechanistic materialism without and then with the admission of gravitation as an additional force was the governing paradigm for materialistic ontological doctrines in the eighteenth and nineteenth century. The term materialism was replaced by the terms physicalism or naturalism after relativity theory and quantum mechanics took the lead in physics.

Idealists tried since the beginning of the nineteenth century to develop philosophical interpretations of the discoveries in the human sciences and then also of their methodology. Hegel's *Phenomenology of the Mind*, his philosophy the objective mind in the *Logic* and his *Philosophy of History* offer the first examples.[1] They served as the leading paradigm for the later interpretations of the human sciences and their methods by the Neo-Hegelians. Hegelian idealism was also of significance for some methodologists in the nineteenth century. In *Boeckh's Encyclopedie der philologischen Wissenschaften*, philology and philosophy are separated as *anagnosis* and *gnosis*, and history can serve as a mediator between philology and philosophy.[2] The classifications in the system of history of Droysen's *Historik* also influenced by Hegel.[3]

Finally some preliminary remarks on the relation between the natural and the human sciences are in order. Both are empirical sciences and empirical sciences admit only falsifications. The methodologies of the natural and the human sciences have developed different criteria for justifiable falsifications. This common ground set aside, most Continental philosophers interested in the human sciences hold that the methodologies of the natural and the human sciences have nothing in common.[4] Dilthey's thesis was that the goal of the natural sciences is to explain and the goal of the human sciences is to understand. The problem of this distinction is that the fields for possible applications of the terms "to understand" and "to explain" intersect in many ordinary Indo-European languages. It is possible to substitute "to understand" by "to explain" and *vice versa.* The distinction requires a restriction. The restriction is possible if the leading methodological principles of the natural

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[1]*Geist* could be also translated as spirit and this would be closer to the connotations of the German term *Geist.* Already Fichte's slogan of the understanding following the letter and not the spirit of Kant's philosophy reveals the theological origin of the term. It is an adaptation of the distinction between the understanding according to the spirit and not to the letter of the holy scriptures of the church fathers. Hegel's absolute spirit is for him a synonym of the theological divine spirit. Thus subjective and objective spirit are manifestation of the absolute spirit.

[2]See Th. Seebohm, *Method and Methodology,* Contributions to Phenomenology 50, Dordrecht: Kluwer Academic Publishers, 2004, (hereafter HMM), pp. 56f.

[3]See HMM, pp. 79f.

[4]Only analysts defended a unified methodology for all sciences that can be recognized as real sciences.

and the human sciences are taken into account. Explanation means for the natural sciences causal explanation and understanding in the human sciences means understanding of life expressions.

Heinrich Rickert distinguished between the nomothetic sciences interested in universal laws of nature and the ideographic sciences interested in unique cultures and the unique products of human creativity in such cultures. According to Husserl the natural sciences presuppose an abstractive reduction bracketing the human lifeworld. The lifeworld is the field of research in the human sciences. All of this needs further explications.

The focus of the following investigations is an attempt (a) to compare the methodologies of the natural and the human sciences and, in Section 5, to analyze the difficulties of the ways in which they seem to be opposed. This task presupposes a short and incomplete sketch of the methodologies of two sciences as *empirical* sciences in Sections 2–4. It is (b) the task of Section 6 to solve the puzzles and problems connected with the opposition of the natural and the human sciences. Solutions for the difficulties can be found if the common ground of the two sciences in a cultural lifeworld with these sciences is taken into account.

The attempt to compare the methodologies of the natural and human sciences presupposes a position beyond the methodologies. Methodological reflections on already practiced sciences are restricted epistemological reflections. They say nothing about the possibility of a coexistence of different types of sciences in a common real world. General epistemology and a correlated ontology provided frameworks in which different sciences could coexist in traditional philosophical systems. Such systems imply, however, that they themselves are the warrants of the truth of a universal metaphysical ontology for things in themselves a priori, *sub specie aeternitatis.*

Phenomenology offers an alternative. All types of theories about reality for itself behind the immediately given objects of experience are in brackets under the phenomenological reduction. Phenomenological reflections start with what is given but only within the limits of the cogitative types in which it is given. Thus for instance what is given in an empirical science is given in the cogitative types of the methods of that science. The reflective methods of phenomenology are descriptive. They do not follow pre-given theoretical frames. Furthermore, they are transcendental. "Transcendental" means only[5] that phenomenology is able to go beyond restricted realms of given objects and the cogitative types in which they are given to other realms and to reflect in addition on the common ground in which the different realms of objects and their correlated cogitative types are given. In case of the natural and human sciences this common background is a cultural lifeworld with sciences.

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[5]In Kant's transcendental philosophy "transcendental" refers to conditions of the possibility of experience that transcend all experience and belong to a supersensible realm of things in themselves. This dimension does not exist within the residuum of the phenomenological reduction.

2   The System and the Methodology of the Natural Sciences

The system of the natural sciences is straightforward. In the hierarchy of physics, chemistry, and the life sciences we can distinguish the hard sciences physics and chemistry on the bottom of the hierarchy and the life sciences as soft sciences on the top. The methodology of the natural sciences can provide the reasons for this distinction.

The first question for the methodology of a science is what counts as an immediate object and its properties and what are the relations between the objects. According to the methodology of the natural sciences they must be given in intersensory and in principle repeatable experiences.

The discovery of the experiment was essential for the development of the modern natural sciences.[6] Observations outside of experimental situations are of significance only for some disciplines, e.g., astronomy. Essential for the methodological analysis of the experiment is the concept of causal conditions. Seen from a logical point of view the conditions are implicative. A cause in this sense implies predictions. Predictions presuppose the hypothesis of a causal law. A hypothesis is the assumed prediction that a certain factor or condition C added to a set of initial conditions of in the experimental situation S is the cause for the emergence a factor E in a temporally following situation S′. The factors C and E must be isolated and identified. Such an enumeration of the initial conditions and their relations in S but also of the factors accompanying E in S′ must be precise and complete. In most cases some of the initial not added conditions might be necessary for the occurrence of E in S′. This must be shown in additional experiments. The invention of a hypothesis requires doubtless intuition, but hypotheses are not free inventions. Hypotheses in already developed sciences always presuppose the pre-given system of already recognized natural laws.

A word has to be added about observations. According to an older thesis, the two independent methods of the natural sciences are observation and experiment. Observations can be made already in pre-scientific everyday experience, but scientific observations are an aspect of experimental experience. There are, however, cases in which it is technically not possible to produce the initial conditions and the conditions in the laboratory. In such cases the natural scientists have to search for intersensory experiences that provide them with the desired experimental situation.

Not all theoretical objects in the natural sciences are immediate objects given for intersensory experience. Already natural laws are theoretical entities. A sequence of

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[6]It would be desirable but is not possible to say more about the history of the methodology of the natural sciences. Only two of the outstanding methodologists can be mentioned. Most influential for the development of the methodology of the natural sciences in the nineteenth century was John Stewart Mill, *System of Logic, Raciocinative and Inductive,* 1843. Among others one of the leading methodologist of the twentieth century was Sir Karl R. Popper, *The Logic of Scientific Discovery*, New York: Basic Books, 1959 (original German version Vienna 1935).

events is observable but that some sequences are determined by a law such that *an event* in a situation S conditions an event in a situation S′ is not observable. Furthermore, laws of nature ought to be systematically interdependent. The ideal case is an axiom system but such systems exist only for the hard sciences. Other types of strict systems are possible, e.g., the system of elements in chemistry. The systems in the life sciences are often economically ordered taxonomies.

Observations and experimental observations are, according to the methodology of the natural sciences, given intersensorily in repeatable everyday experiences. Though such observations offer in part sufficient representations for the objects of theories in the life sciences, e.g., Darwin's theory, they do not represent the objects of the theories of the hard sciences. Some theoretical objects in the hard sciences can still be represented by models that can be given in the parameters of intersensory experience. But even this possibility vanishes in the theories of modern physics, relativity theory, and quantum mechanics.

Three additional viewpoints must be mentioned. The first is the experimental check on the assumption of the existence of an object not given for present observations. Such an assumption is a scientific hypothesis only if it has a background of other observations indicating the existence of the object in question according to well established laws of nature.

The second point to be mentioned is the type of experiments that can discover statistical frequencies, so-called statistical causality. Two cases can be distinguished. The first case occurs often in the life sciences. Organic beings are complex and many varieties of possibly relevant conditions can be given in different individuals of the same kind or in different temporal phases of the same individual. It is difficult to give a strict description of the initial conditions in experimental situations and the assumption that certain added conditions C are the cause of an effects E in S′. What can be done in such cases is to select a group of individuals with the added factor C and, if possible, a control group without the factor C. The experiment is successful, if the predicted effect E occurs in S′ in a statistically significant frequency in the first group but not in the control group. A still weaker case is the comparison of frequency curves of probably interdependent factors.

The second case of so-called statistical causality occurs in quantum mechanics and, seen from a methodological point of view, this is a completely different case. The background for quantum hypotheses is a precise mathematical theory and the experimental situations of quantum mechanical experiments obey the strict rules of other experiments in physics. Many methodological and then also ontological problems occur with quantum physics. Facing these problems it is superficial to hide them behind the screen of statistical causality even if the occurrence of quantum mechanical phenomena are frequency phenomena.

The statistical frequencies of quantum mechanics are not of interest for the comparison of the methodologies of the natural and the human sciences. But the methods of determining of statistical causalities in the life sciences will be of interest because the systematic human sciences use similar methods. The problem behind

this parallelism is the question whether causality has in both cases the same or a slightly different meaning.

Until now the question whether a repeatable experiment can count as the warrant of the verification of a universally valid law of nature *was* in brackets. The naive claim, that a repeatable successful experiment can count as a sufficient criterion for a verification of a natural law was challenged already in traditional epistemologies, e.g., by Kant.[7] Hypotheses cannot be verified, they can only be falsified and natural laws that have been not falsified until then remain fallible. This naive falsificationism, even if refined to methodological[8] falsificationism, has been challenged by conventionalism in the beginning of the twentieth century and then replaced by sophisticated[9] methodological falsificationism.

For conventionalism, the convincing force of the natural sciences, especially of physics, is not only warranted by observations and especially experimental observations. The warrant of theories is also the simplicity and systematic unity of the underlying universal theories. The underlying framework of universal theories cannot be falsified. Experiments refuting them are dubitable. All arguments against general theories backed by experimental falsifications can be challenged if doubts can be raised about the completeness of the underlying analysis of the initial conditions. The final point in the arguments of the conventionalists is that doubts about the completeness of the analysis of the initial conditions in falsifying experiments are always possible. Even undisputed and highly corroborated causal laws and theories remain fallible.

Methodologists of the natural sciences usually distinguish between experience guided only by the intersensory observations of the methodology of the natural sciences and everyday experience. This means, however, that only what is given within the limits of strictly inter*sensory* experience can be of interest for the natural sciences. Natural science is not interested for other contents connected with intersensorily given objects in everyday experience.

Another term for everyday experience used by methodologists of the human sciences and then in phenomenology is lived experience. Lived experience has its objects in the lifeworld. Intersensorily given objects have properties and relations that are not of immediate interest for the natural sciences. Such properties and relations are among others subjective feelings, actions, and interactions with goals, values, laws determining what actions and interactions are right and wrong, etc. The objects of the human sciences are originally given for lived experience in the lifeworld. Seen from there, the pure objects of intersensory observations of the natural sciences are what is left after the abstractive reduction from all other aspects of the objects of lived experience in the lifeworld.

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[7]Immanuel Kant, *Critique of Pure Reason,* II. Transcendental Doctrine of Methods, B 819.

[8]Popper, l.c. esp. Chapter IV.

[9]I. Lakatos: "Falsification and the Methodology of Scientific Research Programmes," in: *Criticism and the Growth of Knowledge*, ed. Imre Lakatos AND Alan Musgrave, Cambridge University Press, 1970, pp. 91–196.

3   The System of the Human Sciences

The systems of the human sciences of Rickert, Dilthey, and Schutz distinguished between the systematic or social human sciences and the historical human sciences, i.e., psychology, sociology, economy and the science of the law, on the one hand, and philology, archaeology, and history on the other. Even a superficial review is today able to discover soon difficulties in the system. Dilthey mentions psychology among his systematic human sciences. For Schutz psychology is not an independent discipline of his social sciences. Perhaps it can be considered as a branch of sociology. For reasons that will be discussed in Section 6, this essay will follow Schutz.

Linguistics and ethnology are not mentioned among the historical human sciences. Not all methodological problems of linguistics can be solved if linguistics is treated as a branch of philology. Linguistics can use methods of the formal sciences. Ethnology is also a critical case because ethnologists are interested in present foreign societies, not in past historical cultures.

Closer consideration indicates also that this system cannot be considered a simple classification of disciplines. There are essential methodological interdependencies between the social and the historical human sciences and between the special disciplines of the systematic and the historical human sciences. For instance, the science of law is a social human science, but the history of the law is and was always an essential part of jurisprudence and the science of the law.

Human sciences are interested in cultural life-worlds. A critical review first of the system and then of the methodology of the human sciences presupposes a brief explication of the basic general structures shared by all cultural lifeworlds, i.e., the lifeworld in general:

(a) The general temporal and spatial structures of the lifeworld.
(b) The structure and aspects of intersubjectivity.
(c) The different types of understanding and its objects in the lifeworld. The explications of the different structures presuppose each other in the order given.

   (a) The lifeworld has temporal and spatial structures. The present and its always changing contents is the center of the temporal structure one-sidedly founding the past as the realm of flowing off contents and the future as the source of upcoming new contents for the present. For the present lived experience future contents are given in expectations and past contents in memories.[10] Secondly, there are the spatial relations of the Here of living bodies and the There outside.

   (b) The lifeworld is an intersubjective world given in this temporal and spatial framework. Others are given as other living bodies first within the realm of the There in the present, but then also as expected Others in the future and

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[10]The structures of inner time consciousness are implied by the temporal structures of the lifeworld. But the lifeworld implies in addition the givenness of Others. Its temporal structures are, therefore, intersubjective and objective.

as past Others given in memories. Others given in the There of lived experience are contemporaries. Contemporaries are consociates if they are given in immediate encounters in interactions. Others are contemporaries but not consociates if they live in a larger spatial distance and belong to a foreign cultural lifeworld. Others in the past are predecessors and those expected in the future are successors.[11]

Lived experience can be an objective experience only as relative intersubjective experience of observations of events in the present, expected events in the future, and events in the past memories. That means also that objective lived experience is one-sidedly founded in interactions. Significant actions and interactions have always consequences for Others and are in this sense also intersubjective. Actions and interactions have goals, i.e., they produce or change objects that are desired and therefore valuable.

In the lifeworld actions and interactions are "causes" and what is done by them are the "effects." Given objects of significance and positive or negative value as products of predecessors or some unknown power are effects in the present with causes in the past. Expected events in the future have their causes in past or present actions and interactions. Thus the category of cause and effects is already essential for the lived experience in a pre-scientific lifeworld. To be a cause means in this context, however, to be "guilty of or to be "responsible for." Several types of such causes can be distinguished. There are first of all actions and interactions of human actors in the realm of the pre-scientific technologies of agriculture and crafts and arts. Their warrant is the raw pre-methodical lived experience in the past. There are furthermore actions and interactions as causes of events that are of positive or negative significance and value for the intersubjective social dimension of the lifeworld. If positive, such actions are considered as merits and receive praise, if negative they are considered to deserve blame, revenge, or punishment. Finally there are the events in the environment not caused be human actions. Myths and religions provide the explanations for such events in the context of a pre-scientific lifeworld.

(a) "Understanding" has many meanings. One can understand craft, a proof, a theory, a universal law, explanations, and the motives and ideas of another person or group of other persons. Dilthey distinguished two types of understanding, the understanding of systems of (a) objects in a lifeworld and the lifeworld as a whole and (b) the understanding of the life expressions of others. Furthermore he distinguished two types of (a) objective understanding. Elementary understanding is the understanding of tools, buildings and materials used for practical purposes in subjective actions but first of all in intersubjective interaction. Higher understanding is the understanding of the whole social context of a lifeworld including the human condition and its place in the natural environment.

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[11]Schutz, *Phenomenology of the Social World.* Trans. G. Walsh and F. Lehnert, Evanston, IL: Northwestern University Press, 1967, Section (E) "The World of Predecessors and the Problem of History."

Higher understanding manifests itself in myths and poetry, religious cults, but also in theology, philosophy, and science.[12] Objective understanding manifests itself in life expressions. The understanding of life expressions is already implied in objective understanding, but it is, on a higher level, also the realm of methodically guided understanding in the human sciences. The animal level of the understanding of life expressions is the understanding of body language, but the human sciences are first of all interested in the understanding of speech, the artefacts of elementary understanding, the artefacts of the works of art, buildings serving religious cultic purposes, and written texts.

Not fixed immediate life expressions in the living present: bodily life expressions, gestures, or other signs serve the purpose of focusing of attention in interactions and speeches. Or they are given as life expressions produced in the past horizon given in the living present as artefacts, fixed life expressions: tools, buildings, artefacts used in religious cults, works of art, and texts.

Immediate life expressions as objects of understanding are given only in the living present, its future horizon of expectations, and its past horizon of memory. Immediate life expressions can not be given as the same again and they are always given in different subjective perspectives. Others producing immediate life expressions as consociates have themselves in the Here of their lived experience and their memories as the ones who said something, moved something or themselves, etc. The consociates in the There heard what they said, perceived their movements in their Here, having those who talked or moved themselves in their There.

Fixed life expressions are also given in the present. They can be given as the same in different phases of the temporal development in the lifeworld. Consociates in the living present are only in some cases Others producing fixed life expressions. Usually Others as actors producing fixed life expressions belong either to the own or to a foreign past of a cultural lifeworld.

The past is given in the living present on the first level in personal memories but also in the memories of consociates. Memories of different persons are always different in their perspectives even for participants in the same interaction or in a discussion. One remembers what she/he has done or said, the other remembers the action she/he has seen or the speech of the other she/he has heard seen. The past is present on the second level in reports of older consociates about what has happened and finally in the oral tradition of the own cultural lifeworld, including in sagas and myths the far temporal distance. Already on the second level fixed life expressions, monuments, buildings serving sacred purposes, pictures, and statues are also of significance for keeping the past alive for the present. The past is present on the third level only via fixed life expressions. Such traces of the past remain in the most cases silent, i.e., not understood in cultural lifeworlds without a written tradition, i.e., in texts explaining their meaning and their functions in narrations, about what has happened in the past. A written tradition is also able to build a

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[12]More material about elementary and higher understanding can be found in HMM §§ 12–14.

bridge connecting the second level with the third. It is, hence, constitutive for history in the broadest sense.

The different levels of the givenness of the past in the present are of crucial significance for the distinction between the systematic or social sciences and the historical human sciences. It is, therefore, tempting to assume that immediately presently given not fixed life expressions are the objects of observations in the systematic human sciences. However, as mentioned, not fixed life expressions can not be given intersubjectively as the same again in different temporal phases. Hence, the systematic human sciences have to use first of all fixed life expressions created in the present and in the first and second level of the past.[13] Even immediate observations of not fixed life expressions can be useful only if the observer provides a description of the observations in fixed life expressions.

The objects of the historical human sciences can be only fixed life expressions created on the third, on the second or, in case of contemporary history, on the first level of the past. The task of the historical human sciences is, contrary to the systematic human sciences, not to understand the significance of the fixed life expressions for the present, the task is to understand them in the context of a past real lifeworld. Thus the understanding of the fixed life expressions implies also the reconstruction of their context in a past lifeworld. The facts given for immediate observations in the historical sciences are fixed life expressions.[14]

What was just said explains in part why the systematic human sciences and the historical human sciences can not be strictly separated. The fixed life expressions belonging to level one and two of the past are of interest for both of them. They are of interest for the systematic human sciences because they are of significance for the present. They are, in the contrary, of interest for the historical human sciences because they are of significance for the reconstruction of a past lifeworld.[15] Vice versa, social structures will always be of essential significance for the reconstruction of a past concrete lifeworld.

What has been said explains also partially why the past of a foreign presently given cultural lifeworld and the past of one's own cultural lifeworld are given in a certain sense in the same way for the historical human sciences. Set aside that the cultural lifeworlds or the own predecessors at a great temporal distance in the past are more or less foreign for the present lifeworld, the immediate objects are in both cases the same, i.e., not yet interpreted fixed life expressions given in the present. Only their interpretation and reconstructions can reveal the historical fact that they belong to different past concrete cultural lifeworlds.

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[13]An old principle of the jurists says *quod non est in actis non est in mundo,* "what is not in the records is not in the world." *Economics* would be lost without written documents, e.g., of book-keeping, records of financial *transactions*, etc.

[14]So called historical facts are *not* the immediately given facts for the historian in the present. See below § 4, 2.c.

[15]The reconstruction itself might be of interest for the present, but this is a second question. See below Section 6.

4   The Methodologies of the Human Sciences

4.1   The Systematic Human Sciences

The main task of the social human sciences is the discovery of causal relations permitting predictions for the future and causal explanations for the past horizon in the social lifeworld. Given this, it is tempting to assume that the methodology of the social human sciences is nothing more and nothing less than an application of the methods of the softer natural sciences. Closer considerations indicate significant differences, however.

The category of causality is essential for technological and social relations in the lifeworld and the lifeworld has its own parameters for judging the significance of caused events for the lifeworld. Causes are *understood* in the lifeworld primarily as actions and interactions and their effects are understood primarily as the intended outcome of the actions. The actors are, in this sense, considered to be responsible for their actions, they are "guilty."[16] If actions fail to reach their goal, the next question is again, who or what was the responsible for the failure. If no responsible human actors can be found, the god(s) or the blind fates may be responsible in pre-scientific lifeworlds.

Already oral or written discourse in the pre-scientific lifeworld provides general terms for actions as causes and their desired effects. These terms are, however, too vague for the terminology of the social sciences. A thorough analysis of all the aspects of the underlying concepts and the complex relations between them is required, as with, e.g., the pre-scientific use of "theft" or "barter" in everyday discourse and the corroborated complex web of relations implied by the concept "theft" or "barter" in the sciences of law or the economy. Methodologists of the social sciences have called such corroborated concepts "ideal types."[17]

Ideal types are justified only if they do not violate the vague frame of the use of the underlying terms in the language of the pre-scientific lifeworld. The mastery of the rules of everyday discourse and the application of the specific terminology of the social scientists might be sufficient in some simple cases but the justification for the application of ideal types usually requires methodologically guided interpretations. This means, however, that what is presupposed are philological methods.

4.2   The Historical Human Sciences

Methodological viewpoints are not of crucial significance for the system of the social human sciences. They are for the system of the historical human sciences.

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[16]*Causa* in Latin meant originally "guilty of," "responsible for."

[17]The term will be used in this essay without answering the question, whether "ideal" ought to be understood in the neo-Kantian or in the phenomenological sense or only as complex empirical abstraction.

The task of history is the reconstruction of a past human lifeworld. The reconstruction presupposes the interpretation of texts and, in addition, of other fixed life expressions, the artefacts of archaeology. That means, however, that history presupposes for its purposes the methods of philology and archaeology. Archaeology is either prehistoric archaeology or historical archaeology. The interpretations of artefacts in historical archaeology presuppose again the philological interpretations of texts. Philology is, therefore, seen from a methodological point of view, the foundation for the historical human sciences.

(a) Philological interpretations apply many different methods and heuristic methodical viewpoints. Some of them apply viewpoints beyond the limits of strictly philological research in the narrower sense.[18] Some of them are answers to methodical problems connected with specific literary genres. The leading question of a methodology for all sciences is: what are the criteria for intersubjectively valid methods for the falsifications of philological interpretations of texts.[19]

The method of philology is ideographic and that means the immediate object of research is always a specific text. Interpretations of texts have three levels: grammatical interpretation, the interpretation of style, and the interpretation of the genre of the text. Interpretations of style and genre are falsified if they presuppose errors in the grammatical interpretation of the text. Interpretations of the genre can be falsified if they presuppose errors in the interpretation of the style of the text. But taken for themselves, the just mentioned criteria are insufficient. What is needed is a fundamental and general criterion for falsifications.

What can be falsified in philological research are interpretations on all three levels, the grammar including lexicographies, the style, and the genre. The basic presuppositions for possible falsifications are the quasi-temporal dimensions of a text. Texts have a past horizon, the horizon of pre-given texts they refer to explicitly or implicitly. The past horizon has the structure of the roots of a tree, a *stemma*.[20] The structure of such a *stemma* is complex, because each textual node in a *stemma* has its own *stemma*. The whole complex web of meaning of such contexts of a text represents the material used by the philologist to determine the context of meaning that can be called the contemporary meaning context of the text.

Texts have also a quasi-temporal future horizon. *It* includes all texts referring to the text in question in the same way, in which the text refers to texts in its past horizon. The future horizon has the structure of a branching tree. It includes also texts with more or less methodologically guided interpretations of the text. This framework provides the background for the general falsification criterion of philological research:

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[18]Psychoanalytical interpretations, deconstructions of texts, etc. Common to all of them is that they presuppose viewpoints known to the interpreter but foreign to the contemporary context of the text. It is, therefore, impossible to falsify them, anything goes, if they presuppose not (yet) falsified philological interpretations of the text.

[19]For an extensive, approximately complete account see HMM Part III, Chapters 7 and 8.

[20]A stemma has the form of branching roots. See HMM § 35.

> All suggestions for the interpretations of a text taken from the present and past horizon of the interpreter have only the rank of plausible hypothetical interpretations.

> All hypothetical interpretations count as falsified if it can be shown that they contradict contents in the context of the past horizon of a text.

The offered modified version of Schleiermacher's first canon of hermeneutics has a significant consequence. Compared with the usual treatment of texts but also other artefacts in cultural lifeworlds with a written tradition, the first canon implies an abstractive reduction. Pre-methodological reading and interpreting of texts does not separate between interpretation and application or rejection. The interpreted text is either understood to be in a broad sense true and has, therefore, to be applied in the present, or it is rejected as false. The unity of interpretation and application is not broken. The formula of the first canon separates interpretation and application. Possible applications are in brackets for methodologically guided interpretations and for such interpretations texts are neither true nor false. The question is only whether the interpretation is correct according to the methodology or not.[21]

Philological research in the narrower sense is restricted to the interpretations of texts in the past and the future horizon of a text step by step. The interpretation and reconstruction of the history of the significance of texts for other texts in the past as well as in the future horizon of texts in general belongs to efficient history, the history of the development of meaning and significance of texts for later texts, and presupposes already essential aspects of the methodology of historical research.

The reconstruction of the biographies or aspects of the biographies of the authors of a text in a past concrete lifeworld is also a historical task. Philological research in the broad sense is, therefore, always also philological–historical research.

(b) Archaeology has, taken for itself, no problems in its interpretations of artefacts belonging to the realm of elementary understanding such as tools, weapons, houses, fortifications, and traces of agriculture and mining together with the implied relevant social relations of the members of a past cultural lifeworld and the conditions of a natural environment. Presupposed in such interpretations are the general structures of the lifeworld, i.e., the structure of possible activities of the human body, the structure of the givenness of Others, and the everyday elementary interactions with others. Comparative methods are useful for complex cases. This background is also sufficient for falsifications of the interpretation of such artefacts. So-called prehistoric cultures in the past are cultures without a written tradition. Only archaeology can provide interpretations of the artefacts created by such cultures and such non-literate interpretations will be restricted in the most cases to the structure of elementary understanding. Prehistoric archaeology is, therefore, per se archaeology of artefacts belonging to elementary understanding.

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[21]See HMM § 23, § 36; see also Section 5 about the emergence of the problems with the unity of interpretation and application in the age of reformation and humanism.

    History understood in contrast to prehistory is the history of cultures with a written tradition. It is therefore possible to support interpretations of artefacts belonging to historical archaeology with the interpretation of texts. There are, however, always aspects of historical cultures in the past that are almost completely neglected in the literature of the culture. They belong usually to the realm of elementary understanding of the illiterate lower classes of the society. In addition craftsmen often kept their technological knowledge to themselves.[22] Only archaeological interpretations of artefacts belonging to the realm of elementary understanding can provide an access to these aspects of a past cultural life world.

    Prehistoric archaeology is, however, restricted to vague guesses based on comparative methods in its interpretations of artefacts belonging to higher understanding: cultic objects, statues, painting, temples, and the complex social relations of cultic activities. The interpretation of such artefacts requires in addition texts with information about myths, the revelations of prophets, moral rules, and other written reports about the "worldview," the understanding of the natural environment and the society as a whole, in a past cultural life world. The texts used for these purposes need philological interpretations. Philology is, therefore, the final arbiter for plausible assumed interpretations and the falsification of assumed interpretations of artefacts belonging to higher understanding in a past cultural lifeworld.

(c) The task of history is the interpretation of a past real lifeworld and its temporal development in a past present. The immediate presently given objects for historical understanding are texts and artefacts created in a past present, the *facts for the historian*. The so called *historical facts* are facts in the context of the reconstruction of the reality of a past lifeworld.

A complete reconstruction of a past lifeworld is impossible. It is impossible, on the one hand, because there will be never enough material for a complete reconstruction of the past reality of a cultural lifeworld. It is, on the other hand, impossible to start with a completed reconstruction of the reality of a past lifeworld as a whole because the material for the reconstruction, the facts for the historian, can only be discovered in an open-ended research progress. It is, furthermore, difficult to give an account of the reality of a past complex cultural lifeworld as a whole because in such cases the amount of facts for the historian is too rich. Thus historical research will be restricted to certain aspects of the whole. History has therefore *always* to begin with reconstructions of certain aspects of a past reality: political history, history of ideas, social and economical history etc.

    The historical reconstruction of a past reality is per se also the reconstruction of the historical development of the events in a past lifeworld. The structure of intersubjective temporality implies causal structures. Causal explanations for events that happened in a past lifeworld are, hence, an integral part of the reconstruction of this lifeworld. The experience of causal structures in the present and in historical reconstructions of a past period is different. The future horizon in a

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[22]For instance the guilds of the masons and the millers in the Middle Ages.

lived experience in the present is open. Expectations and predictions can be fulfilled or disappointed. The future horizon of a historically reconstructed past present is closed. The space for expectations in a present phase of a past lifeworld has been filled by events that already happened in the past subsequently. Predictions are meaningless in this context but causal explanations for past events are possible. Causal explanations for events that happened in a past lifeworld are, hence, an integral part of the reconstruction of this lifeworld. Two types of such explanations can be distinguished.

Genuine historical explanations are interested in the necessary causes, replicative conditions of events. They are genuine because they can be discovered in the framework of historical research itself as historical facts in reconstructions past temporal developments. Characteristic for such a discovery is that the historiographical "and" connecting the sequence of two or more events can be understood as a "because" with the aid of the discovery of further historical facts.[23] Required for genuine causal explanations is, in addition, that the rationale causal connection itself can be interpreted with the aid of other historical facts in the historical context of the explained historical fact.[24]

Historical explanations presupposing implicative conditionals are not genuine. They use implicative causal connections justified in everyday experience or by theories borrowed from the social human sciences or even from the natural sciences. History is not able to refute the validity of such causal laws. Their validity can only be checked in the present and can not be presupposed as causal laws known in the historically reconstructed past life world. What can be challenged by historical research is, however, that the explained fact is a correctly reconstructed historical fact. The assumption that the explained historical fact is indeed a historical fact can be falsified in historical research.

A historical fact is a fact only in the context of a reconstructed past lifeworld and its temporal development. The facts for the historian given in the present of historical research provide the justification for the assumption that the historical fact is indeed a fact in the context of the reconstructions. However, the context of the facts for historical research is itself open for changes created by new findings. Therefore, all historical reconstructions are fallible and the assumptions of this or that historical fact have always the character of a historical hypothesis. The hypothesis can be falsified if changes in the material of historical research indicate that assumption that X is a historical fact in the context can not be justified by the facts for the historian, i.e., the given material.

History presupposes the methods of philology and archaeology because the facts for historical research are always philologically interpreted texts and/or archaeological

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[23]"Caesar went over the Rubicon with his legions *and* became dictator of Rome." – "Caesar became dictator of Rome because he went over the Rubicon with his legions." This as well as the following example is trivial just because as examples they *are* immediately plausible.

[24]"Caesar broke a Roman law going over the Rubicon because the purpose of this law was precisely to keep Roman war leaders from forcing the Senate with their legions to grant them the dictatorship."

interpretations of other artefacts. Hence, if the interpretations are falsified with the aid of the falsification criteria of philology and archaeology then all assumptions of historical facts presupposing the falsified interpretations for their justification are falsified as well.

But history has beyond that its own historical falsification criteria. The complex problem of historical critique is, whether assumed historical facts in a pre-given reconstruction can be falsified. Only an abstract, schematic, and probably incomplete list of types of criteria for such falsifications can be given. Possible discoveries of falsifiers are:

> either the discovery of facts for the historian, i.e. new texts and artefacts justifying the assumption of new historical facts, or the discovery that a certain source does not belong to an assumed temporal and local context but to an earlier or later temporal and local context. This case includes the discovery of falsifications, or the discovery of neglected facts in the natural environment of the past lifeworld.

The given list also covers possible types of falsifications of genuine historical explanations. The conditions, the conditioned, and the reasons their causal connection between them are historical facts. The list covers also by implication possible historical falsification of explanations of historical facts with the aid of implicative causal laws mentioned above.[25]

5 The Opposition Between the Methodologies of the Natural and the Human Sciences

The natural sciences and the human sciences are empirical sciences. The type of experience is different. Roughly speaking the immediate empirical objects in the natural sciences are intersensorily given objects, the empirically given immediate objects for the human sciences are life expressions. Natural sciences and human sciences as empirical sciences have only one common denominator. The growth of knowledge in a certain field is the goal of empirical sciences. Knowledge in the empirical sciences is hypothetical and fallible. To be fallible means that hypotheses can be falsified. The task of falsifications is negative. It eliminates errors. But falsifications have also a positive function. Falsifications clear the ground for the development of new and stronger hypotheses, theories, and reconstructions.

Since the beginning of the nineteenth century the natural sciences and the human sciences coexisted in the universities side by side. Prima facie their coexistence does not cause problems and tensions. The prediction of events in experiments and the explanation of events with the aid of causal laws, on the one hand, and the understanding of unfixed and fixed life expressions have nothing in common.

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[25]See Th. M. Seebohm, "Historische Kausalerklärung"; *Kausalität, Neue Texte*, ed. Günter Posch, Stuttgart: Reclam, 1981, 260–289.

But natural sciences and human sciences intersect in some areas and such intersections cause puzzling epistemological problems.

The natural sciences can explain what is already understood in the human sciences. Three levels can be distinguished:

1. Natural laws are able to explain the impact of natural factors on the natural environment of a cultural lifeworld and its development in the past, the present, and the future. Such explanations including quasi-Darwinistic explanations can be applied to historical reconstructions of past lifeworlds. What is explained are events in the natural environment of past cultural lifeworlds. But the past cultural lifeworlds in question are possible objects for such explanations only because they are already known via the reconstructions of historical research. These explanations are by no means able to replace historical research.
2. Furthermore, it is possible for the natural sciences to explain the structure of lived experience in the life sciences. The simple case is the case of explanations for sensuous impressions and feelings, e.g., colours. The natural sciences are able to explain how sensuous lived experiences are causally determined by physical, chemical, and organic changes in our body in general and especially in the nervous system and the brain. Given the methodology of the natural sciences, it is their task to discover such explanations and there is no reason to assume that there are limits to the future progress of this type of research.
3. The crucial case for the human sciences is that such explanations are not restricted to sensuous feelings. They can be applied to other bodily feelings such as happiness and depressive moods and social feelings like sympathy or aggressive drives, but they can also be applied to the complex cases not only of moral and aesthetical feelings, but also to moral and aesthetical judgments, and even to intellectual abilities and activities including the understanding of foreign life expressions in the methodologically guided research of the human sciences. Again, what is explained also in case (2) and (3) is pre-given in the interpretations of the raw material of lived experience.

Seen from the viewpoint of the human sciences, the natural sciences are for them nothing more and nothing less than a specific type of higher understanding. As such they are, like all other types of higher understanding, of interest for the human sciences.

1. They are of interest for the sociology of the community of scientists and their impact on the social world in general. Seen from this point of view, the sciences are products of specific structural conditions in a social lifeworld.
2. Natural science has a history. There are texts with information about scientific theories in the past that need philologically guided interpretations and there is the task of the reconstruction of the past historical development of the sciences, including their origin in pre-scientific cultural lifeworlds.

   (a) The first necessary and genuine historical condition for the possible development of sciences in a pre-scientific lifeworld is a sufficiently developed system of literary genres including a specific genre for theoretical philosophical

contemplations. The second necessary and genuine historical condition is a highly developed system of crafts and arts.

(b) Historically objective validity has to follow the methodological rule that a text or artefact has to be understood out of its own context without applying viewpoints taken from the interpreter and his or her present cultural situation. Guided by the methodology, the present stage of the development of the natural sciences usually understands itself as the peak of the progress of the sciences. Scientific discoveries of the past are of interest only if they can be understood as steps leading to the top of the development in the present. That the past is understood as progress leading to the present and beyond it is not only for the history of science but also for the history of other cultural activities an arbitrary thesis and by no means an acceptable methodological guideline for positive historical research.

The historical facts reconstructed with the aid of methodologically guided historical research tell a different story. The history of modern sciences since the fifteenth century discovered that the sciences in different historical phases have been governed by different and even partially incompatible paradigms guiding theories concerning organisms and their development in the life sciences but also about time, space, and matter in the hard sciences.[26] Even the life sciences, including their explanations of phenomena of lived experience and understanding, have their social implications and their history and can be treated by the human sciences as worldviews together with other worldviews created in higher understanding in past and present cultural lifeworlds.

The explanations of phenomena of lived experience and of pre-methodical and then methodologically guided understanding in the natural sciences cause puzzles. The causal conditions and their conditioned effect in physics are both physical objects, the causal conditions in chemistry and their conditioned effect are objective chemical objects conditions and the conditioned effect is as well a chemical object, and the causal conditions and the conditioned effect in physiology are physiological objects. The initial conditions are changes in the nerve cells triggered e.g., by light waves. The conditioned in the end is the firing of neurons in a certain part of the brain. This part of physiological explanations is still under the abstractive reduction of the methodology of the natural sciences. But their function is in addition an explanation of phenomena belonging to the lifeworld and lived experience. "To be caused" means in this case that what is given in lived experience cannot happen without the firing of neurons in a certain part of the brain. But that means that what happens physiologically in the brain is the necessary cause for whatever is given in lived experience and that what is given there coincides only in a very restricted area with objects that can be given under the abstractive reduction of the natural sciences.

An additional puzzle is that what is explained as an effect was already given before in lived experience or in the understanding of others in the life world as an

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[26]Thomas Kuhn, *The Structure of Scientific Revolutions,* second edition, The University of Chicago Press, 1970.

immediate experience or an aspect of actions and interactions and as a well known object of the historical sciences and the social human sciences. It is, therefore, tempting to ask what type of knowledge is the true and better knowledge. Sometimes it is said that the natural sciences are able to do the work of the human sciences better than the human sciences and to replace them. Such a claim presupposes additional epistemological and even ontological assumptions. They will be considered below.

What can be said to the puzzles is, seen from a pedestrian point of view, straightforward and simple. The human sciences do not explain. They practice a methodologically guided understanding, interpretations of life expressions, first of all fixed life expressions. What is understood can be explained but it must be known what has to be explained. It must be given as understood and if possible, understood with the aid of methodologically guided interpretations of the human sciences. Natural explanations can be given for all kinds of historical facts. But that is of no significance for the process of ongoing historical research. In the contrary, historical research can discover that what had been explained is not a historical fact at all.

Assume that a future brain physiologist will be able explain the specific neural structures in the brain of scholars in the field of old Greek language and culture and that these structures are the necessary conditions for the ability to do such research work. Does this knowledge enable him to develop a physiologically based brain technology to imprint this ability in the brain of, e.g., a skilled craftsman?

The methodology of the historical human sciences creates as well as puzzles. If all worldviews and aspects of worldviews including the worldview of the methodology of the natural sciences are true and valid only for their own historical context then all claims for validity, including even the claims of mathematics, are relative. If, furthermore, the history of science indicates that science presupposes in general the presence of certain conditions in a cultural lifeworld and in addition that what is valid for the natural sciences depends on historically changing paradigms, then the possibility of a general methodology of the natural science that justifies the falsification and replacement of an old paradigm is in question.

The task of the next paragraph is to solve the puzzling problems of the intersections between the methodologies. It is possible to understand the puzzles as indicators of an opposition of complements in a relation. There are some reasons to prefer this possibility. What has to be discussed first is the opposed possibility to use the puzzles to construct a contradictory opposition between the two methodologies.

Methodological reflections on the practice of pre-given scientific research are limited epistemological reflections that are restricted to a specific area of theoretical knowledge and most scientists recognize the restrictions. However, some philosophically minded methodologists of the natural and the human sciences claim that their methodological principles are the universal principles for theoretical reasoning in general. A discipline is then a scientific discipline only if it obeys the methodological principles of unified science. The methodology of a science is now hypostasized to the level of general epistemology.

Such a claim can be easily challenged by indicating that the methodology in question is not able to do the job of the methodologies in all other sciences. A second step

has to follow. The task of a methodology is not only to analyze the principles of critical principles guiding the selection of hypotheses. The methodology determines also what can count as an object for the science in question. This decent claim of methodologies will change with the claim that a certain methodology has the rank of a universal epistemology. What counts as an object for universal epistemology, following the old principle that truth and being are convertible, *ens et verum convertuntur*, paves the way for a universal ontology. What can not count as an object according to the principles of that ontology is a phantasy, a ghost created by imagination. Methodology is hypostatized to the rank of a universal ontology. Given that it is impossible that two different types of sciences with different methodologies can coexist together, whatever is a valid object for the "real and true" science can not be a valid object for the other and it has to be shown that the objects of the other science are only appearances, epiphenomena of real being. Given the two hypostasizing steps, we have instead of the natural and the human sciences and their methodologies two ontological "isms," naturalism and historism and they are opposed to each other in a contradictory opposition, they exclude each other mutually. But what is worse, both end in epistemological paradoxes.

The paradox of historical relativism and historism is well known since the beginning of the twentieth century. Relativism, understood as the last word in epistemology leads to scepticism. Scepticism itself can not be "true" because there is no truth for scepticism. Ideas about truth and real being are valid ideas only in their own historical context, i.e., relative to this or that historical context.[27] The paradox of this so-called historical relativism is straightforward and simple. All our philological, archaeological, and historical knowledge, but also all our sociological theories are true only for our present context. They are not true for other possible contexts. Even worse, since what is true is true only in its own context, how can we know at all what was true for other contexts, e.g., the context of Greek culture. But if we have no knowledge of the context of other cultures, how do we know that what was true for them is different from what is true for us?

The paradox in naturalism emerges if natural science attempts to explain lived experience and its correlation of the self and its objects as a product or epiphenomenon of the brain. What "really exists" according to the ontology of naturalism is only the brain and its natural activities. Often it is assumed in addition that the contents and aspects of lived experience are strictly determined by physiological events in the brain. The paradox occurs if the brains that have to be explained are the brains of the scientists. The first indicator of the paradox is a linguistic puzzle for ordinary language. My brain creates my representations and with them that for which they are representations, i.e., the self. That means, however, that some*thing*, that is *my* thing, i.e., the brain, is understood at the same time to be identical with my*self*, the owner of that thing i.e., the object under investigation of the brain physiologist. A psychologist usually concludes that a person thinking that he/she is identical with a thing he/she owns has a split personality.

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[27]Kuhn's history of science, for example, has been criticized because of its historical relativism. It can serve indeed as a good example of historism and its paradoxes. Obviously Kuhn fell into this ontological trap without noticing it.

The real paradox is an implication of naturalistic ontology and naturalistic epistemology: Whatever we represent in lived experience is determined by the nature of physiological processes in certain parts of the brain. The sum total of what is represented in the natural sciences by the scientists is natural science, its objects, and its methodology plus the epistemological and ontological claims of naturalism. Though we cannot imagine how completely different brain structures than ours are physically possible, we cannot deny the empty possibility that brains of other living beings, even our own brain some day in the future, could have different anatomical and physiological structures. Such brains would produce ideas about science, the objects of science, and its methodology. Hence, natural science and with it brain physiology are only valid for the specific structure of our brain. A consequence of this relativism is that all what we know about our brain and how it determines representations is valid only because our brain has just the structure that it has. The root of all of this and the above mentioned puzzle for ordinary language is, that it is the BRAIN written in capitals that separates the subject and its lived experience and its objects, but the brain physiologist has only our brain as an object and that presupposes the BRAIN.[28]

6   Natural and Human Sciences in the Context of a Lifeworld with Sciences

The last section discussed the methodological problems of the coexistence of the natural and the human sciences. But the coexistence of both has also a material aspect in the lifeworld with sciences, in short a "WSC.-lifeworld." Such a lifeworld has specific structures and creates specific problems. Some remarks about these structures and problems are necessary before coming back to the central question of this last section.

The natural sciences are of basic significance for the structures of elementary understanding in a WSC.-lifeworld. The methodology of experiment checks hypotheses about causal explanations via causal predictions. The justifications for the causal expectations presupposed in the practical actions and interactions in prescientific elementary understanding are past events given in simple lived experiences. Given the natural sciences, it is possible to use also predictions that have been successfully checked in scientific experiments. The science of engineering and with it techno*logy* in the proper sense now dominates elementary understanding. It is a science because it implies the practical application of natural science. Natural science for itself belongs, however, to higher understanding. Elementary understanding and higher understanding are immediately linked in a WSC.-lifeworld. The technological revolution in a WSC.-lifeworld is followed by a revolution of economic structures and of the military arts accompanied by significant changes of the structure of the society and the state.

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[28]H.M. Emrich, *Psychiatrische Anthropologie,* München, 1990, Kap. VI.

The human sciences have significant consequences in a WSC.-lifeworld on the level of higher understanding. Even in pre-scientific lifeworlds with a highly developed literary tradition and different special literary genres the unity of interpretations of the texts of the tradition and their application or rejection remains unbroken. Rejected parts of the tradition are forgotten. They vanish completely or survive in subcultures, and in some cases they wait as dead materials in libraries for a possible renaissance.[29]

The situation changes with the advent of the methodology of the human sciences. Interpretation and application are separated. It is possible to have general methodological standards for interpretations, but it is impossible to develop universal standards for applications in always different present situations. Only the question what a text or an artefact means in its own context is relevant for the human sciences. Similarly whole past and/or foreign cultural lifeworlds represented in immediate objects for the historian, texts and artefacts are as historically reconstructed facts recognized as cultures in their own right. The growth of research and knowledge in the human sciences steadily widens this field.

This has further consequences for a lifeworld with human sciences. The first response to this situation is tolerance, pluralism, and a more or less conscious relativism. This attitude of benign benevolence has its limits. There are systems of higher interpretations or worldviews developed on the level of pre-scientific lifeworlds that have serious difficulties in "tolerating tolerance." Whether and how far they can be tolerated or not is one of the almost insoluable problems of a lifeworld with human sciences.

One of the crucial problems is that the natural sciences are themselves systems of higher interpretation in a WSC.-lifeworld. The understanding of nature in the natural sciences and the understanding of nature in some religions and philosophical systems are not compatible. Since philosophers from the very beginning criticize their predecessors, this is not so much a problem for philosophy. It can become a crucial problem for some types of religion.[30]

Seen from a phenomenological point of view the natural and the human sciences have their common ground in the lifeworld. The lifeworld is present in the experience of the immediate objects of the sciences. The reasons for the distinction between the immediate objects of the sciences given in the present and the objects in the theories of the natural sciences as well as the reconstructed facts of the historical human sciences have been mentioned in the preceding sections. For the same reasons, the natural and the human sciences can coexist or are partially opposed to each other in the lifeworld.

The reasons for the distinction between the immediate objects and the theoretical objects of the social human sciences and the distinction between the immediate objects for the historian and the reconstructed historical facts in the historical

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[29]See HMM, p. 125, 148.

[30]Buddhism has no troubles with the worldview of the natural sciences. Fundamentalists in prophetic book *religions with* books written by prophets listening to their God have serious problems.

human sciences have already been mentioned. More must be said about the givenness of the immediate objects of the natural sciences in the lifeworld.

The innocent principle of the methodology of the natural science that observations ought to be intersensorial indicates the second presupposition of the natural sciences. Like all other intersubjective practice and theoretical activities, the natural sciences presuppose the givenness of Others. The requirement that observations and experiments ought to be repeatable in the natural sciences is meaningful only for the temporal structures of the intersubjective community of scientists in the lifeworld and not for the abstract time structures of matter and energy in Newton's or Einstein's theories.

An essential point has to be added. Reality for itself is given for lived experience as a blind, overpowering, and impenetrable force. Reality has form and significance only if it is seen under systems of myths, religions, science, or other interpretations. The immediate objects of the natural as well as the human sciences are both given on the lowest level as real for lived experience in the lifeworld.

There are no intersections and, therefore, no oppositions between the hard natural sciences, physics and chemistry, and the human sciences. The immediate as well as the theoretical objects of the natural sciences are not life expressions and life expressions as such are not of interest for the hard sciences. The situation is partially different in case of the life sciences. There are no areas of intersections between the life sciences and the human sciences if research interested in human animals and human cultural activities in the broadest sense is excluded and the life sciences are restricted to all other realms of organic beings. But human beings are organic beings as well and they are, therefore, legitimate objects for research in the life sciences. Even seen from this point of view, many tasks for the research of the life science like the physiology and anatomy of blood circulation, breathing, or digestion are irrelevant for the problem of possible intersections and oppositions. Such problems occur only with attempts of the life sciences to find causal explanations for phenomena belonging to lived experiences and life expressions, i.e., in all fields that are possible immediate objects for the human sciences.

Two areas of the life sciences are of special interest in this respect. Historically, the first is the Darwinian theory of evolution in all attempts to give causal explanations for the development of cultural lifeworlds. But as far as only the theory of evolution of organic species is in questions there are no intersections. That humans are akin to apes and descendants of certain primates is a concern for some religious worldviews, it is not of interest for the human sciences, their immediate objects and their methodology. Furthermore, it is also not a problem if the pure conceptual principle of the survival of the fittest, is applied for further explanations of the results of interpretations cultural and social phenomena. Problems occur only if the Darwinian principle is applied in connection with the second field of the life sciences that seems to intersect with the human sciences, namely, brain physiology. This second intersection between the natural and the human sciences is first of all of significance for psychology as a human science.

Empirical methods of the natural sciences have been applied in psychology, originally a philosophical discipline, in the second half of the nineteenth century. Approximately at the same time psychology as understanding psychology emerged

as the basic systematic human science in Dilthey's system of the human sciences. Thus two opposed methodological paradigms of the natural and the human sciences dominated psychology in the beginning of the twentieth century.[31] The degree of complexity of the methodological situation increased with the advent of psychoanalysis in the beginning of the twentieth century. This discipline was understood at least by Freud as a natural science, but this claim was challenged later with good reasons in the analytic philosophy of science and understood by others later as a hermeneutical technique, i.e., belonging to understanding psychology.[32]

Psychology is understood in the WSC.-lifeworld also as a profession. Psychology as a profession belongs to the group of the healing professions together with psychiatry as a branch of medicine. The healing of physical and mental diseases by physicians sometimes in personal union with the shaman or priest was a well recognized profession already in early pre-scientific cultures. Guided by pre-scientific types of experience in the lifeworld and some more or less speculative philosophical theories, it became a profession for itself in classical antiquity and medieval Europe. It took some time for the physicians in Europe to abandoned their medieval tradition and apply the results and methods of the natural sciences. Modern medicine and psychiatry are as professional arts applied sciences. Medicine as a theoretical natural science is a branch of theoretical biology. But that is not the whole story.

Of interest for the phenomenological descriptions of intersubjective relations in a WSC.-lifeworld is that medicine, psychiatry, and psychology as practical professions are immediately involved in encounters with Others via bodily life expressions or speeches. The professionals are supposed to understand the patient but understanding in the lifeworld always implies possible misunderstanding and not-understanding. For medicine in the narrower sense, such encounters are in some cases marginal, in others more or less helpful for both sides. In psychiatry this depends on the kind of the mental disease. The attempt to communicate with the patient ends in not-understanding on both sides in some cases. Only pharmacological treatment is possible. If communication with the patient is not too difficult or impossible, interpreting the reasons for the disturbances of the patient can be helpful or even the best path for a successful therapy. But such a therapy is in its essence already a psychological therapy.[33]

Dilthey's conception of psychology as understanding psychology can be extended and must be extended to determine the field of the encounter between the psychologist

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[31]This was the reason for the methodological investigations of Sections 3 and 4 to follow the system of the human sciences in Schutz's and not Dilthey's system. Psychology was left in brackets.

[32]The first influential methodological criticique of the claim that psychoanalysis is a science was Ernest Nagel: "Methodological Issues in Psychoanalytic Theory," in *Psychoanalysis, Scientific Method and Philosophy*, ed. Sidney Hook, New York University Press, 1959, pp. 38–56. For Paul Ricoeur, *Freud and Philosophy: an Essay on Interpretation,* transl. Denis Savage, Yale University Press, 1970. esp. Book III, Chapter 1, this critique is an accepted background for his interpretation of psychoanalysis as a hermeneutics of suspicion.

[33]Psychiatrists are supposed to have also some training in psychological treatments and psychologists ought to be capable to recognize whether and how far the suffering of the patient has physiological causes and can only be treated with the aid of medications or not.

and his/her patients. First it is of methodological interest that the psychologist has to keep records of the conversations with patient. What has been said has to be available in fixed records for the *interpretation* of the psychological diagnosis of the patient. Such interpretations are usually interested in the social environment of lived experiences in the past including events in early childhood. Seen from an epistemological point of view, the guidelines for such interpretations are typologies. Seen from a methodological point of view, the psychological typologies are similar to the ideal types of sociological interpretations including not only the present but also the past horizon of social interactions. They imply also causal relations, but the causes are in such cases events given in lived experiences in the past and the effects are the problems of the treated person given in the present of lived experience and that means that these are of the type of cause–effect relations known and used already in pre-scientific lifeworlds. Furthermore, they are cause–effect relations in an interpreted development and therefore they imply, like understanding in general, the possibility of misunderstanding and not-understanding. They are not cause–effect relations given under the abstractive reduction of the natural sciences.

One point has to be added before turning to the central problem of this section. Psychological theories applying certain ideal types have been often used in interpretations of texts, works of art, biographies, historical events, and even pre-historical epochs. Nothing can be said in principle against such interpreting explanations of texts, other fixed life expressions, historical facts, and developments. But according to what has been said about explanations using implicative conditionals above in Section 4, it has to be kept in mind that such interpreting explanations presuppose at least not yet falsified interpretations of the fixed life expressions or reconstructions of the historical facts in question. If the presupposed philological interpretation or historical reconstruction is falsified according to the standards of the methodology of the human sciences, such interpretative explanations are falsified with them. In other words, interpretative explanations presuppose work done in the historical human sciences. They are not able to serve as substitutes for it.

The claim of brain physiology as a natural science is first of all that it is able to explain the whole field of the immediate objects of psychology given in pre-scientific lived experience in the lifeworld. It should be kept in mind that it cannot be the task of the following considerations to determine how far this and other claims are already covered by successful research, can be covered in the future, or to determine the limits of this claim. The horizon for possible explanations of empirical objects is always open. What can be done is only to analyze the contents of such claims.

The immediate objects that are possible objects of the explanations of psychologists are (1) phenomena given in simple lived experience; (2) the same immediate objects given in the explications and interpretations of the systematic human sciences, namely (a) in psychology and (b) in sociology; and (3) the objects of the historical human sciences.

1. What is given in simple lived experience is always given in the two aspects of self experience and the lived experience of Others given via the life expressions of Others. Already that implies pre-scientific interpretations including possible understanding, misunderstanding, and not-understanding. All what is given in

pre-scientific lived experience is a possible object for brain physiological explanations. Since this sphere is with some precision intersubjectively accessible only via descriptions in ordinary language, the intersubjectivity and intersensuality of brain physiological research has to presuppose this medium as well. Ordinary language is imprecise. Brain physiological explanations are better off relying on the gradually more precise distinctions offered by psychology.

2. a. Psychology is not only interested in the classification of presently given immediate contents of experience. What is of interest is the psychological constitution of types of individuals and the genesis of their constitution in the past. The first level past is accessible in conscious but also subconscious individual memories. The individuals are shaped by social experiences in the past. Psychology is, hence, inseparable from sociology,

   b. The structures of a cultural lifeworlds are co-determined by their natural environment. What happens in the natural environment can be explained by different natural sciences. Such explanations are relevant for sociology, but they do not involve brain physiology. There will be imprints of such social experiences in individual brains, but the objective social conditions responsible for such imprints are beyond that. Often they are not known at all or only partially and vaguely known in the concrete lived experience of the individuals and known only with the aid of sociological research.

3. The immediate objects of the historical human sciences are fixed lived life expressions. They have to be interpreted in their original context or serve in history as material for the reconstruction of a past social and cultural reality. Prima facie there are two tasks for brain physiology: (a) there are the brains of the researchers in the historical human sciences. They are given in the present. There is like in other social groups the possibility to explain the specific imprints in the brains of such scholars. (b) The other task would be to explain what happened in the past to the brains of, e.g., poets, rulers, groups of such outstanding persons in a past reality etc. If the research is restricted to the brains of present human scientists, brain physiology is in the same situation as in 2.a and 2.b. What is at stake are modifications in the brains of certain individuals and groups of individuals that are socially conditioned and the brain physiologist should ask the sociologist why only a certain group of peoples are conditioned this way and others not. If the brain physiologist wants to explain the feelings and behavior in the historical past she/he is in serious difficulties trying to investigate the brain of, e.g., Elisabeth the first or Ivan the Fourth. What he can do is to choose precisely the procedure of the psychologist in the attempt to deal with the behavior and worldviews of the past. He has to choose a presently well established theory, in his case a brain physiological theory, and explain well established interpretations of texts and historical reconstructions of a past reality with this theory. But his explanations remain falsifiable together with the interpretations and reconstructions according to the methodological standards of the human historical sciences.

Part II
Husserl's Phenomenological Philosophy

How Is Phenomenology Motivated?

Hans Rainer Sepp

1

In a manuscript from 1938, Dorion Cairns named two motives that led his teacher, Edmund Husserl, to transcendental phenomenology.[1] This motivation was effective from Husserl's early writings in the 1890s onwards. Both motives have been caused "by two antipathies," "an aversion to obscurity" and by "an aversion to beliefs" that had not been thoroughly justified by one's "own observations." The first motive is to gain clarity in all statements about reality and the second requires getting such clarity only through one's own observation – and the two motives are of course linked. But the problem for Husserl was that worldly experiences cannot be completely justified by observations nor can thoughts be by intuitions; every evident fulfillment implies new aspects that are not yet given but refer to new possible fulfillments, and so on.

The solution in this paradoxical situation was, as Cairns pointed out, the development of transcendental phenomenology. Why? Husserl set out a difference – he distinguished between objects as real entities and such objects as they are intended by consciousness. While the relation to reality never can fulfilled by worldly experience, the givenness to consciousness has its measurement in itself. Consciousness as the faculty to intend objects is the measure for the evidently givenness of these objects. However, in order to reach this level of the intending or "constituting" consciousness, it is necessary to turn back from the worldly relationship and its real objects to the relation to objects as data for transcendental subjectivity. In other words, it is necessary to perform the transcendental epochē that leads from

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[1]This manuscript has been published by Lester Embree, Fred Kersten, and Richard M. Zaner under the title "The First Motivation of Transcendental Epochē" in: *One Hundred Years of Phenomenology*, eds. D. Zahavi and F. Stjernfelt (Dordrecht: Kluwer Academic Publishers, 2002), pp. 219–231.

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the natural to the transcendental attitude. From the latter point of view there is no longer any contradiction regarding the fact that objects valid for worldly experiencing cannot completely be justified. They can be justified when they will be analyzed as results of the constitutional processes in which they are given.

The unsolved problem, however, is how I can start from the natural attitude and gain entrance into the transcendental realm? Is there a motivation to perform the epochē?

2

The problematic of motivation is a central chapter in Husserl's phenomenology. Not only all practice and theory in the world are gotten going by motivations. Mundane as well as transcendental subjectivity is for Husserl motivated.[2] Motivation is the universal regularity that unifies consciousness from the passive constitution of the stream of the inner time consciousness to the syntheses of active relations of the I and his or her objects.[3]

While natural subjectivity is within the world, the transcendental subjectivity is towards the world, embedded in the incessant process of growing worldly. The two attitudes, the natural and the transcendental, refer to the world in different ways. However, what is crucial is the position of the third, the "transcendental spectator," the transcendental phenomenologist who analyzes the structure of the transcendental subjectivity that incessantly "terminates" at the world. The I who is doing phenomenology is not in the world since she/he is the author of the transcendental epochē and reduction, and she/he is also not at the world since she/he is not identical with the constituting I who is to be analyzed by the phenomenological I. Thus the question: Has the act of the I of the phenomenologist performing the transcendental epochē also been motivated?

Already Cairns in conversation with Husserl and Fink in November 1931 asked, "… how convincing a *motivation* to the performance of the phenomenological epochē can be *before* that epochē itself and the development of phenomenology itself …?"[4] This question about the motivation of the epochē is obviously not identical with Cairns' question about the motives that led Husserl to transcendental phenomenology. Whereas the latter asks about the motives to ground a transcendental

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[2]The phenomenological structure of motivation with special regard to Husserl and Alexander Pfänder has been analyzed by Wolfhart Henckmann in his "Eine phänomenologische Analyse der Motivation" in *Dialog als Lebensform*, eds. Th. Ebers, M. Melchers, and A. Michel-Andino (Koblenz: Verlag Dietmar Fölbach, 2007), pp. 305–334.

[3]See Edmund Husserl, *Ideas Pertaining to a Pure Phenomenology and to a Phenomenological Philosophy. Second Book* (*Collected Works*, vol. 3), trans. Richard Rojcewicz and André Schuwer (Dordrecht/Boston/London: Kluwer Academic Publishers 1989), § 56.

[4]Dorion Cairns, *Conversations with Husserl and Fink* (*Phaenomenologica*, vol. 66), ed. Husserl-Archives in Louvain (The Hague: Martinus Nijhoff, 1976), p. 39.

phenomenology as "a rigorous science," the former wants to know how this could actually be undertaken, and this problem was also a question that haunted Eugen Fink at this time.

In his *VI. Cartesianische Meditation* written some months later Fink maintained a clear standpoint and answered no to the question whether the act of the phenomenologist is also motivated. This is because his or her I is neither identical with the mundane I nor with the transcendental I. This means that there is, strictly speaking, *no* motivation for reaching the transcendental level – at least for a mundane subjectivity, a subject who is within the world, who does not ask why its activities have been enabled by *possibilities*, by horizons of activity, and what such reference to horizons might mean.[5]

Fink emphasizes that initially a motive works only for a subject who is in the world. Since motives are inner-worldly and lead from one fact to another, the decision to perform the epochē, and that is to transcend the horizon of the world itself, cannot be mediated by a motive. Fink does not speak here about the possibility that transcendental subjectivity is motivated in and by itself because, first, the phenomenological I is not the anonymous constituting transcendental I and, secondly, its bearer is in the world and has to take his or her worldliness as starting point. As before, the question is: How can human beings in the world be prompted to "leave" the natural bond with the world and accomplish the phenomenological reduction?

Developing his conception of transcendental epochē, Husserl calls the decision to undertake the epochē an act of "full freedom."[6] "Full" here means that we can refuse to believe everything, and we can do so even in cases where we have strong evidence, because the doubt does not refer to the believed entity as such but only to the *belief* that presents it. In this way, he thought that the belief of all beliefs, the "general thesis" that world is, can also be doubted, and this doubt is for him also a result of our full freedom.

Husserl presumes that such a freedom can be experienced at any time by anyone. However, it is questionable whether this freedom also works when the thesis of the belief of the world should be "set out of action." Though Husserl emphasizes the difference between worldly beliefs and the belief regarding the world as such, he is obviously convinced that there is an identical freedom of suspending both beliefs. Since we are always related to things in the world, we can in principle suspend every one of these relations. But in the natural attitude we are not related to world

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[5]See Eugen Fink, *VI. Cartesianische Meditation. Teil 1: Die Idee einer transzendentalen Methodenlehre* (*Husserliana Dokumente*, vol. II/1), ed. H. Ebeling, J. Holl, and G. v. Kerckhoven (Dordrecht/Boston/London: Kluwer Academic Publishers, 1988), § 5, pp. 36f.

[6]Edmund Husserl, *Ideas Pertaining to a Pure Phenomenology and to a Phenomenological Philosophy. First Book: General Introduction to a Pure Phenomenology* (*Collected Works*, vol. 2), trans. F. Kersten (The Hague: Martinus Nijhoff, 1982), § 31. Already in his lecture "Grundprobleme der Phänomenologie" from 1910–1911 Husserl emphasizes that phenomenology "kann mit der Epochē beginnen und braucht nach weiteren Motiven nicht zu fragen" (Edmund Husserl, *Phänomenologie der Intersubjektivität. Erster Teil* (*Husserliana*, vol. XIII), ed. I. Kern (Den Haag: Martinus Nijhoff, 1973), p. 157, footnote 1).

as such. So the question is what leads us to the world as such in order to suspend belief in it? What in this case sets, so to speak, freedom free? We can see that this question is the same as that which asks for the motive of the transcendental epochē. Asking in this way we are related to the *existential preconditions* of every kind for developing transcendental theory.

In other words, when I already know what the world is as such, Husserl's conception of total freedom as the possibility of also performing the transcendental epochē could work, but how I can get knowledge of world before I resort to the epochē? This looks like a circle and so the central task is to jump out of the circle of the world and to jump into another circle, into the circle of getting free to lay bare the former circle and its relation to the world. Between both circles, the circle of natural attitude and the circle of transcendental phenomenology, the epochē as an *existential one* plays its role. It is the big interruption, the "interval of light" (Pier Aldo Rovatti),[7] where life holds its tongue and holds its breath before it escapes into the "Land of Promise" of transcendental phenomenology as one of the shelters where life hopes to take refuge.

Fink's answer to the question of how human beings in the world could be prompted to "leave" their natural bond is that there are "extreme situations" of life giving rise to a mistrust of embodiment in worldly closeness, i.e., to no longer have confidence in the whole of objective relations that normally inspire confidence in and within the world.[8] In order to begin with transcendental phenomenology, a "transcendental knowing" in the form of an "extremely radical question" is necessary.[9] Thus the motivation of phenomenological reduction is the opening of a *uniquely* questionable situation. This situation is unique because it appears within the natural attitude but at the same time transcends the horizon of all questions that can emerge by and for this attitude.[10]

This shows again that the problem of how phenomenology can really begin does not concern the question of which theoretical steps lead to phenomenology as a philosophical science, but it is related to a pre-theoretical, existential condition for establishing phenomenological theory. Hence, such a theoretical reflection on doing phenomenology is not only a consideration of the more or less hidden theoretical motives that lead to phenomenology (as Husserl suggested in the cited conversation with Cairns and Fink), but to show that the true situation of epochē results

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[7] See Pier Aldo Rovatti, "Das Rätsel der Epoché," in: *Phänomenologie im Widerstreit. Zum 50. Todestag Edmund Husserls,* eds. C. Jamme and O. Pöggeler (Frankfurt am Main: Suhrkamp 1989), pp. 277–288.

[8] Fink, *VI. Cartesianische Meditation. Teil 1*, ibid., p. 38. Karl-Heinz Lembeck does not consider this essential moment when he discusses Fink's phenomenology of phenomenology in his interesting article "'Natürliche' Motive der transzendentalen Einstellung? Zum Methodenproblem in der Phänomenologie" in *Phänomenologische Forschungen. N.F.* 4 (Freiburg/München: Karl Alber, 1999), pp. 3–21.

[9] Ibid., p. 40.

[10] Cf. ibid., pp. 40f.

from a totally unforeseen event or rather in an assault on the normal trust in the being in the world.

Husserl himself took an existential basis for the development of philosophy into account when he saw the "motive of a reflection" generally in a "disagreeable experience";[11] he also stated that in ancient Greece a "motivation" arose that resulted in a "totally new problem of the world" as a non-relative entity beyond all traditions and established an "universal inquisitiveness, the *thaumázein.*"[12] However, as Husserl shows in the *Krisis*, this motivation ultimately missed its goal just for the reason that it had *not* led straight to transcendental phenomenology.

The task of a "phenomenology of phenomenology" should be above all to analyze not only how phenomenology begins within existential practice and covers up its roots in practice but also to show how phenomenology is permanently tied to practice. As Fink explained (and Husserl did not oppose), the transcendental standpoint cannot be grasped (if it has been grasped) once and for all; rather it is necessary over and over again to "go back" to the world, to reinstall the mundane attitude – always open-endedly gaining transcendental experiences. However, just this movement of deworldling and re-enworldling (*Entweltlichung* and [*Wieder-*] *Verweltlichung*) and so on is the evidence that phenomenology is constantly tied to practice, and of course the phenomenologist is a citizen of both worlds – of the mundane as well as of the transcendental – she/he cannot disappear into the thin air of transcendental life. The only but most important difference that distinguishes the phenomenological I from the natural I is that for the phenomenologist the transcendental as such is no longer latent.

One of the most interesting points that follows from this is that such a phenomenology of the phenomenological beginnings as rooted in existential relations may not only foster the conception of a transcendental phenomenology but can help to develop a transcendental theory of human existence that differs decisively from the "fundamental ontology" of the early Heidegger. The question of the motivation for transcendental epochē implies the explosive force for opening an alternative phenomenology of existence. On the present occasion we can only consider the starting point of developing such an alternative.

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Once again, what does it mean that phenomenology has no motivation within the natural attitude? Starting with the transcendental epochē this process cannot be motivated by any inner-worldly entities. It cannot be motivated because it concerns

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[11] Edmund Husserl, *Die Krisis der europäischen Wissenschaften und die transzendentale Phänomenologie. Ergänzungsband* (*Husserliana*, vol. XXIX), ed. R. N. Smid (Dordrecht/Boston/London: Kluwer Academic Publishers, 1992), p. 376.

[12] Ibid., p. 389.

all (worldly) motives: the inner determination and purpose of the epochē is to react to all relations caused by motives. Husserl calls this unique reaction to this *all* the indivisible act of the transcendental epochē; it has to be installed suddenly, "in one go" ("*mit einem Schlag*"),[13] not by steps as is the case with the reduction in psychological phenomenology. This is not a contradiction to the statement that the transcendental standpoint cannot be grasped once and for all: one must distinguish between the reaching of the transcendental level by phenomenological epochē (this is only a question of yes or no) and the ways of revealing the endless facets of transcendentality by phenomenological analysis.

The act of transcendental epochē is just as unique as its "object," the world as such, is. When "world" can be translated phenomenologically into a net of infinite motives, epochē does not correlate with a further motive but with the *emerging of the unique fact of being motivated*. This emerging only requires that this fact be presented as such, and, of course, it is not motivated by any motives whose factualness has been fixed by itself. Therefore, the above-mentioned extreme situations in one's life are extreme when they get the chance to encounter this factualness of inner-worldly living. They are extreme because they lead to the border of the natural attitude that is normally involved in motives within the world. Their "extremism" includes the chance to get an experience of this attitude for the first time – by performing the transcendental epochē. Only this epochē actualizes the unique possibility to gain insight into the condition of actualizing manifold possibilities caused by manifold motives.

This structural relation is strongly suggestive of Heidegger's conception of the extreme, "last" possibility that, as everybody knows, will be grasped by a specific relation to death, the "fore-running to death" ("*Vorlaufen zum Tode*").[14] This special relation is for Heidegger also the actualization of a unique possibility because it is a behavior that concerns all possibilities in the world. Whereas the ordinary worldly possibilities are related to objects, the relation to death is unique: not only because death is simply the last possibility of our life, but that this relation as a "being to death" ("*Sein zum Tode*")[15] shall set the possibility of possibilities "free" as such. Therefore, this possibility is both the impossibility of all relation to inner-worldly possibilities and the possibility of all such possibilities since all possible worldly relations are only possible on the basis of understanding the last possibility of the end of one's life.[16] Heidegger calls the specific mode that opens this unique possibility existential "resoluteness" ("*Entschlossenheit*").[17]

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[13] Edmund Husserl, *The Crisis of European Sciences and Transcendental Phenomenology. An Introduction to Phenomenology*, trans. D. Carr (Evanston, IL: Northwestern University Press, 1970), § 40.

[14] Heidegger, Martin. *Being and Time*, trans. J. Stambaugh (Albany: State University of New York Press, 1996), § 53.

[15] Cf. ibid., § 51–53.

[16] Cf. ibid., § 53.

[17] Cf. ibid., § 60.

Is the inner structural-phenomenological sense of this possibility of impossibility as the basis of worldly possibilities opened up by resoluteness really the same as the possibility made accessible by transcendental epochē as both unmotivated and as a basis for insight into the mechanism of all worldly motivations? If not, we must analyze more deeply the difference between these two structural complexes.

For Heidegger the "fore-running" to death is a specific mode of understanding, it is the possibility to understand a so-called "authentic existence." Such an existence reveals a status where it already was and is but without knowing its own ability insofar as it is lost in relations to things in the world. This movement describes the circular structure of understanding. By opening it's formerly hidden mode of existence it changed itself into what it really is – by understanding the sense of its true being. From this it follows that the extreme possibility as the being unto death marks an impervious borderline, a border that could not be crossed. Heidegger characterizes this unique possibility by saying that it cannot be out-stripped ("*unüberholbar*").[18]

Of course, the emphasis on the finiteness of human existence does not simply mean that we are mortal; it rather indicates that all changes that human existence can accomplish will end in the beginning where the fact that existence knows what it is authentically coincides with the fact that existence really is itself. This existential *tautology* will be reflected by Heidegger's central thesis that the opening of the extreme possibility includes the possibility of an existential anticipating of the *whole* being-there ("*des ganzen Daseins*").[19] Having untied the bond that connects existence with the world of objects, it will be possible for one's life to gain access to this whole of one's own existence.

Here is the great difference compared to the transcendental epochē. Already Cairns stated that "phenomenological epochē concerns the *entirety of existence*."[20] But the procedure of the epochē lets the borderline be disposable. Whereas the fore-running to death is something like a passing into a deeper level of life in order to arrive finally at a forgetting of home, the transcendental epochē is a radical rupture comparable to an escape from a jail in the course of which nobody knows what will come, a leap in a completely uncertain adventure.

Transcendental subjectivity does not simply hand itself over. It cannot be totally disclosed at any time because it realizes itself in a continuing constitution and it is at work even in the latent act of the phenomenological spectator. The relevant problem that arises from here is not the problem of iteration, that is, to reveal every anonymous act of revealing. Fink argued that there is no endless iterative relation because from the third stage onwards a simple repetition occurs and not a new status. The reflection on the phenomenological act is in principle the same (namely free of any thesis of being) as the reflection on this reflection, and so forth.[21]

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[18]Ibid., § 53.

[19]Ibid.

[20]Cairns, *Conversations*, ibid., p. 12.

[21]Cf. Fink, *VI. Cartesianische Meditation. Teil 1*, ibid., p. 29.

The fact that transcendental subjectivity cannot be caught means that there is an in principal unbridgeable difference between this subjectivity and all attempts to hunt it down. One could say that just this insight is a central result of Fink's analyses in the *VI. Cartesian Meditation*. The succession of deworldlings and enworldlings marks an endless process because every epochē depends on a place and time where and when it will be undertaken, and every trip into the transcendental is enriching by pouring ("*Einströmen*") the mundane profile of knowing and changing its existential placement into mundaneity. Moreover, the phenomenologist is not a *solus ipse* even when she/he performs the epochē in total seclusion. Phenomenological subjectivity correlates with a *plurality* of phenomenological egos.

With the recognition that the transcendental epochē has no worldly motive but depends on specific existential situations comes the insight that access to transcendentality is plural – since its opening depends on time and place where it will be opened – though its inner sense is unique: namely to hold an extreme position in relation to any existence-in-the-world. Because the phenomenological attitude is rooted in human practice, its specific development is suffused with essential elements that mould this practice as results of its particular transcendental origin. And because transcendental subjectivity embodies itself only in plurality, the way back from this embodiment touches on the traces of its transcendental origins, without of course any guarantee of revealing all of them, but also with the certainty to touch on such of them that can originally be discovered only in relation to this unique mode of embodied subjectivity.

This means not only that subjectivity is plural because its transcendental roots are manifold and every shape is unique within this diversity, but that the ways of reflecting on this plurality of unique embodiment are manifold as well since the realm of their references is also plural. The consequence is that there are several ways of leading to reveal the transcendental, e.g., through Buddhism as well as phenomenology, and no way replaces another. When Husserl stresses that the conception of the identity of world is a result of ancient Greek culture, he seems to forget sometimes that it is not self-evident that this view ranks as a foundation for all life-worlds and the scope for a theory that will investigate these worlds. Phenomenology deals not only with intra- and intercultural diversity; doing phenomenology is itself a matter of manifoldness too since it is rooted in existential realities. Tied to an embodied transcendentality, an access to the revelation of its grounding is as unique as this ground is it in itself. But it is no contradiction that the ideas embodied in an existential place are communicable even though they share a common geneology which is tied to origins that are not interchangeable.

Summing up, the task is to establish a phenomenological theory of interculturality by the way of taking into account the different modes of enlightening existence by art and religion as well as philosophical, i.e., phenomenological understanding. There is to be distinguished first a manifold of possible acts of reflection on one's place, secondly the manifold of places and their specific modes of reflection, and thirdly the possibility to gain access to one's self by getting to know the places of others and their own ways of disclosing. This profile of phenomenological work does not stand for a simple happy end but, as already Husserl desired, for a happy *endless* end.

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The escape from being tied to my existential place means neither to desert it, because this is impossible, nor does it mean to gain total control of this place, for this is impossible as well. It is an attempt to install a relation towards my own place that can be intensified without ever reaching the bottom of my place and my relation to it. Such intensification, however, does not mean a gradual understanding guided by a continuous line. Because there is no graduation of the attempt to realize the transcendental epochē, intensifying here means that every expedition down to the transcendental roots through the activated epochē can explore more and more facets of the unknown land that we are.

Establishing such a relation to my place is the result of a displacement rendered possible by an existential refraction of my normal understanding within the world that allows grasping the "same" in a completely different way, a refraction that causes the decision to restrain my further response to my natural, egoistic instincts that are forming my world. This is an unprecedented decision, not one of proceeding into death but of taking over the risk of "putting into brackets" my egocentric tendencies that normally, as Scheler already said,[22] identify my singular place with the whole of the world. Therefore, as already stated, it is not a way to jump into the circle of the understanding of one's own being-in-the-world but, on the contrary, to break through it towards an uncertain outcome.

The alternative model of a phenomenological philosophy of human existence has to fix the uniqueness that the epochē alone shows: the uniqueness of embodiment in the world, the plurality of the unique places of such embodiment, and also the endless work of revealing the transcendental roots of every single place. And the epochē enables both to burst the bonds that tie one to one's own place and to establish a reflective analysis that could investigate what comes to light for such a displaced point of view. A pre-theoretical epochē both changes life and grounds theory, a theory of transcendentality that includes a theory of the movement of human existence. Such a movement includes the specific movement without any motive: the transcendental epochē; and a phenomenological theory of the existential movement of the transcendental epochē includes also an analysis of the social role of the movement that phenomenology is actualizing as a phenomenological movement.

When phenomenology is grounded on an epochē that displaces it from being tied to places, it releases the self in order to win it back again face to face with the other, and in view of the other to pass through and come back to oneself – but changed. This is the reason that phenomenology is possible only in the plural – and has in fact been actualized only by phenomenologies – whereby the tendencies in the phenomenological tradition do not organized themselves in a hierarchy. Phenomenology is only possible as radical democracy. In this way, for example, the *Organization of*

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[22]Max Scheler, *Wesen und Formen der Sympathie* (*Gesammelte Werke*, vol. 7), ed. M. S. Frings (Bern/München: Francke, 1973), p. 69.

Phenomenological Organizations explicitly intends to promote the proper movement that phenomenology can be through communication and cooperation around the globe. Owing to Lester Embree this movement has had a new push.

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Working Notions: A Meditation on Husserlian Phenomenological Practice[*]

Elizabeth A. Behnke

1   Opening Conversations[1]

"A lot of strange things go on in the name of phenomenology." (Van de Pitte 1988, 33)

"If Funke could have registered the term phenomenology as a trademark, it is clear that he would not have let Heidegger use it." (Stewart 1991, 150)

" … no one, not even Hegel or Husserl, has proprietary rights to a term like 'phenomenology.'" (Spiegelberg 1975, xxii)

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"Qu'est-ce que la phénoménologie? Il peut paraître étrange qu'on ait encore à poser cette question un demi-siècle après les premiers travaux de Husserl. Elle est pourtant loin d'être résolue." (Merleau-Ponty 1945, i)

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[*]The present essay was written early in 1992, but was never published at that time; while the text retains substantially the same form, the notes were drafted much more recently. Both the original subtitle ("How to do phenomenological research without falling into foundationalism, essentialism, or irreparable immanence and the metaphysics of presence") and the secondary literature cited reflect certain aspects of Husserl-reception in the United States during the 1980s. I have made no systematic attempt either to update the bibliographical references or to integrate my own later reflections on phenomenological method, but have added a number of references to volumes of *Husserliana* that only appeared after this essay was initially drafted. Its place in the present collection can be explained by mentioning that the original bibliography included a reference to an unpublished manuscript by Lester Embree (an early version of Embree 2003/2006) that he kindly shared with me on the occasion of the 1989 SPEP meeting in Pittsburgh.

[1]I am borrowing both the title "Opening Conversation" – here plural, since several conversations are in play – and the possibility of opening an essay with such a conversation from the works of David Michael Levin.

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"Die Phänomenologie? Sie ist gewiß kein monolithischer Block und schon gar nicht ein bloßes Arsenal fundamentaler Thesen oder methodischer Handgriffe. Wo sie lebendig bleibt, verkörpert sie eine flexible Seh- und Frageweise, die verschiedene Richtungen nimmt, sich ständig neu erprobt und sich nicht auf eine fertige Identität versteift." (Waldenfels 1980, 8)

"Il faudra donc qu'elle s'adresse à elle-même l'interrogation qu'elle adresse à toutes les connaissances, elle se redoublera donc indéfiniment, elle sera, comme dit Husserl, un dialogue ou une méditation infinie, et, dans la mesure même où elle reste fidèle à son intention, elle ne saura jamais où elle va." (Merleau-Ponty 1945, xvi)

* * *

"Und vielleicht ist der Titel Phänomenologie mehr Titel einer Methode als einer Disziplin …." (13/158)[2]

"The fairly wild misunderstandings of the nature of phenomenology may well be symptomatic in most cases of nothing more than culpable ignorance of what Husserl said. But this does not speak to the fact that there are a considerable number of good philosophers who know very well what Husserl said, who make ample use of his research results, and who nevertheless show not the slightest interest in plying the distinctive method that is supposed to have generated them." (Van de Pitte 1988, 34)

"Phenomenology is not a mere matter of gawking, but involves a difficult and deliberate method which (like every method) one can fail to carry out rigorously or thoroughly …." (Hilmy 1981, 45f.)

"'Phenomenologizing,' then, like piano playing, requires practice for its development, maintenance, and improvement. It is a method that cannot be understood except through its practice." (Reeder 2010, 39)

* * *

"Vielfach wird behauptet, Phänomenologie sei eine Methode. Dies trifft nur dann zu, wenn man unter Methode kein neutrales Werkzeug versteht, sondern buchstäblich einen Weg, der den Zugang zur Sache eröffnet." (Waldenfels 1992, 30)[3]

"Wir brauchen auch die wirkliche Durchführung. Wir müssen die Wege selbst beschreiten." (24/445)

"Aber freilich, was hier als ein bloßer Leitgedanke aufgewiesen ist, erfordert zu seiner wirklichen Durchführung eine gewaltige und schwierige Forscherarbeit." (32/146)

"Real phenomenology is hard work." (Van de Pitte 1988, 31)

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[2] All citations in this form refer to *Husserliana*, cited by volume/page number(s); quotations are from standard English translations where available. The *Husserliana Materialien* series is cited using the abbreviation HM, followed by volume/page number(s).

[3] Cf. also Waldenfels 1992, 17; 19-1/22; 3-1/135; HM4/73f.

2   In the Workshop[4]

Imagine, if you will, that you find yourself walking into someone's workshop. You can tell that it is indeed a "workshop" of some sort, and that you are perceiving various sorts of "working tools." But precisely what these tools are meant to do – what sort of project they are used to work on, what sort of comportment they call forth from their user, and how, exactly, each one of them contributes to shaping whatever the final product may be – is not immediately clear to you. You may think that you recognize implements of one "kind" or another – tools that remind you of other tools with which you are more familiar – but much of the contents of the workshop remains obscure to you, for you do not yet have the appropriate knowledge, interest, sensibility, and skill to sort it all out and make thoroughly informed sense of it all (20-1/321). Even if the craftsperson should obligingly step into the workshop, perform the appropriate moves and gestures, and put the tools in play before your very eyes, there is no guarantee that you will instantaneously grasp all the principles of the craft in question.

The potentialities and dangers of each tool, and the sense and scope of the craft as a whole, only start to come alive when you begin to take up the craft for yourself. And as your practice becomes deeper, the sense of each step in the process, and the worth and weight of each tool, gradually becomes more and more vivid to you, the subtleties more intimate, the possibilities of major catastrophe less threatening, the opportunities for improvisation richer. You begin, in short, to know what you are doing; you are no longer a puzzled onlooker, but have taken up a tradition from within, carrying it on even as you may shift it in response to the changing circumstances under which you, now, ply your craft …

3   Aims and Disclaimers

The working premise of the present essay can be stated fairly succinctly: I believe that much of the controversy concerning certain key phenomenological terms – and much of the attendant criticism leveled at them – can be traced to the fact that the appropriation of these "working notions" has been *insufficiently phenomenological.* More specifically, certain key concepts and strategies that makes sense in terms of the actual experience of *doing* phenomenological description have been taken out of

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[4] In explaining his choice of Husserl texts for a volume entitled *Arbeit an den Phänomenen,* Waldenfels (1993, 219) states that the aim is to give readers some insight into the conceptual "workshop" in which Husserl carried out his "work with phenomena," adding, "Eine Werkstatt ist weder ein Archiv noch ein Museum, so nützlich und anregend diese auch sein mögen." Here too my emphasis is not on what Husserl and others have already achieved using the conceptual tools or "working notions" of phenomenology, but on the lived experience of taking up such a practice for ourselves.

this context and have been interpreted, criticized, modified, or rejected without due weight being given to the living practice from which they spring. When, however, one is not satisfied with mere discussions "about" such terms as "phenomenological reduction," "essence," or "constitution," but instead actually performs the phenomenological reduction, pursues eidetic investigations, and elucidates constitutive correlations – all within the context of concrete phenomenological research on one's own chosen theme or area – then certain possible philosophical objections and difficulties begin to seem less relevant. At the same time, it can readily be seen how research into certain themes or areas does indeed require that one's appropriation of the basic "working notions" of phenomenological investigation be flexible and generous, often moving in a direction that Husserl himself only indicated but did not pursue – precisely because he developed his own sense of how these "working notions" are to be applied in the context of an entirely different research project.

Thus my aim here is twofold. On the one hand, I want to identify certain potential "pitfalls" – i.e., problematic and unhelpful ways of understanding crucial phenomenological working notions; on the other hand, I want to suggest more fruitful ways in which to appropriate these concepts in actual phenomenological research (although what I will say will obviously fall far short of a full description of, or set of instructions for, "*doing*" phenomenology). Throughout, I will be concerned with the fruitful appropriation of Husserlian phenomenological method – and not with, say, hermeneutic phenomenology, or with any of the various ways in which a phenomenological approach has been taken up within the human sciences. However, I am in no way offering a complete presentation of Husserl's own way of understanding the concepts and strategies I will discuss. His thought on these matters is rich, complex, and sometimes contradictory, and I have developed my own understanding less from what Husserl says than from what he does when he is engaged in actual phenomenological description.[5] Thus the interpretations I propose cannot simply be plugged into each and every passage in which Husserl uses the word or phrase in question, and disentangling the various senses in which Husserl uses a given term remains an ongoing matter for Husserl scholarship.

Moreover, within the limits of this essay, it is not possible to do justice to the secondary literature in which these concepts have been discussed. Similarly, it is not possible to give a detailed account of the various criticisms that have been leveled against phenomenology; versions of some of the major complaints will merely be sketched briefly as a reminder of what some of the problems of phenomenology have been held to be. It must be emphasized, however, that the purpose of this essay is not at all to resolve such *philosophical* issues as may legitimately be raised by these criticisms as they are usually formulated. Instead, what I would like to suggest is that certain celebrated objections to phenomenology may well stem from a tendency to interpret certain working notions as though they are still situated within the horizon of the inherited philosophical tradition, rather than taking them up in the context of the emerging tradition of phenomenological practice.

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[5] See Ströker 1997, 32; cf. Kersten 1989, 21f.

Finally, I will at least attempt to indicate in what sense the version of phenomenology that I am attempting to develop here is *interactive:* as with "action research," the "object" of research may itself be transformed in the process of being approached, questioned, and articulated in just this way. But at the same time, "phenomenology" too may be shifted, transformed, and stretched, just as a novel type of problem encountered in the workshop may well require the modification of traditional tools or the improvisation and elaboration of new ones. The fact remains, however, that when we enter the workshop, or the tradition, we find certain tools already at our disposal, and it is our task to take them up – a task to which I shall now turn.

4   Epochē and Reduction, Immanence and Evidence

It seems easy enough to begin by saying that the "phenomenological reduction" is, as it were, the "gateway" into phenomenology (see, e.g., 6/156, 260, 266). What is actually at stake at the beginning of the phenomenological enterprise, however, is the adoption of a *phenomenological attitude* (see, e.g., HM4/74, 34/107; cf. 4/179f.). And difficulties can readily arise if the single phrase "phenomeno-logical reduction" is made to do duty for a number of closely related procedures and strategies that must all come into play in some way if a phenomenological attitude is to be successfully adopted and maintained. For example, some of the tasks that the "opening moves" of a phenomenological inquiry are designed to perform include the following: a fundamental shift that breaks through the sheer "taken-for-grantedness" of everyday life – i.e., a shift from naively "living along in" the "natural attitude" (see, e.g., 34/224f.) to a kind of "wonder" or "begin-ner's mind"; a "suspending," "making no use of," "inhibiting," "placing in brackets," etc., directed toward any (straightforward) ontological claims (judgments, posi-tions, beliefs, etc.) whatsoever; a similar "bracketing" of various other sorts of presuppositions or assumptions; and a concomitant turn to the evidence of lived experience, precisely as it is experienced. Now when one actually goes through the experience of trying out these various moves, one finds that they can be described in terms of two "moments" that I will provisionally and heuristically refer to as an epochē "principle" and a reduction "principle"; the Greek term *epokhē* names a suspension of or freedom *from* the efficacy of something, and the Latinate term "reduction" speaks of a tracing-back *to* something.[6] But what are some of the pitfalls in all this?

First of all, if "suspending" claims, judgments, presuppositions, assumptions, etc., is understood as "getting completely rid of them," rather than, say, "changing one's attitude toward them," then phenomenological attempts at such "suspension"

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[6] Here I am setting aside certain disputes in the literature concerning the difference between "epochē" and "reduction" – see, e.g., Spiegelberg 1973/1981; Petit 1973; Spiegelberg 1974.

will be interpreted as a claim of, or at least a will toward, "presuppositionlessness," and criticized as a futile search for situatedlessness – as though one were trying to take refuge in a disembodied, ahistorical "ego" unencumbered by context, culture, or indeed, any sort of contingency or facticity whatsoever. However, the "epochē" principle of "suspending" or "bracketing" our assumptions can most fruitfully be understood as "critique of presuppositions," rather than "absence of presuppositions." Husserl already cogently states the "*principle of freedom from presuppositions*" in 1901: "This principle, we think, only seeks to express the strict exclusion of all statements not permitting of a comprehensive *phenomeno-logical* realization" (19-1/24) while admitting statements "satisfying the require-ment that what they assert permits of an *adequate phenomenological justification, a fulfilment through evidence* in the strictest sense" (19-1/28f.). Thus as he says 25 years later, the sense of "presuppositionlessness" in transcendental phenome-nology requires that the "conditioning" presuppositions in each case are themselves seen for what they are (34/66; cf. 17/280) – and as he further specifies in 1930, nothing that still awaits confirmation in phenomenological "seeing" is allowed to hold good as a basis for phenomenological statements (34/176).[7] Freedom from presuppositions accordingly requires a double move in which one first brings presuppositions to light, then tests them against the appropriate experiential evidence.

But to reach the sense of "experiential evidence" that is at stake here, we must take note that at the beginning of phenomenological work, what is of supreme importance is rigorously (and repeatedly) suspending the presuppositions that might be characterized as *straightforward ontological* claims and positings. This involves not only suspending or bracketing any explicit ontological judgments, but also deactivating a more general and pervasive background habit of thinking, speaking, perceiving, and acting in terms of "entities" that simply "exist," or "have existed," or "will exist" – this building, that plant, the sun, my body, this piece of paper, the ozone layer, the Boston Red Sox, the planet earth, politicians, plankton, sewage, the bill that will come in the mail tomorrow, this cup of coffee

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[7] Cf. also, e.g., 25/61; 34/441ff. This approach to critique of presuppositions emphasizes that the "other side" of the "*principle of freedom from presuppositions*" is the "*principle of all principles*" expressed in *Ideen I* – namely, "*that every originary presentive intuition is a legitimizing source of cognition, that everything originarily* (so to speak, in its 'personal' actuality) *offered* to us *in 'intuition' is to be accepted simply as what it is presented as being,* but also *only within the limits in which it is presented there*" (3-1/51; cf., e.g., 1/54, and see also Reiner 1959, 139ff.; Laskey 1984, 91ff.). A further deepening of the critique of presuppositions occurs when we take into account historically sedimented apperceptive styles, retrieving them from their anonymity and seeing how they have shaped what we have taken for granted – see, e.g., 34/303, 363, 397ff. Perhaps the most radical philosophical form that Husserl's critique of presuppositions takes identi-fies the pregivenness of the world as, so to speak, the prejudice of all prejudices (see, e.g., 34/151, 303), while we as experiencers function, so to speak, as the (phenomenologically justified) pre-supposition of all presuppositions (see, e.g., 17/282f., 34/429). In this way, "radical freedom from presuppositions" requires inquiring back into our own streaming life of action and affection as "where" presuppositions exercise their efficacy in the first place (see, e.g., HM8/41).

here before me, the brown beer bottle that Husserl described in Seefeld in 1905 (10/237ff.), and so on.[8] This in turn allows us to thematize a dimension of pure experience (whether this be experience "of" this building, that plant, etc.), and – in accordance with the "reduction" principle – to trace the "experienced" back to the "experiencing." Yet the major pitfall looming before us here involves taking "experience" in terms of an "immanence" that is in turn (tacitly) conceived in terms of some sort of spatial location or container metaphor.[9] In other words, for some critics, the "phenomenological reduction" seems to mean bracketing the world "out there," only to replicate it "in here," "in" consciousness – and furthermore, in a consciousness that is conceived as presence to itself, so that the trace of anything that would be genuinely "other" than consciousness is securely suppressed. According to such a critique, then, the world with all its transcendence winds up being (illegitimately) engulfed in consciousness, a move that effectively "dilates" the subject "to the point of coinciding with the whole of reality" (Bello 1989, 108).[10]

It is certainly true that Husserl often makes use of the *term* "immanence," and does so in more than one way.[11] But let us ask what happens when we actually do consult our own lived experience in the course of doing some concrete phenomenological description: "*What does immanence signify in this case? Does it signify that the object is not outside but in consciousness and that consciousness is, as it were, a bag into which the unitary immanent object is stuck?*" (10/279). "On the contrary," says Husserl; what we find are various shifting and ongoing processes "such as perception, imagination, memory, predication, etc., and in them the things are not contained as in a hull or vessel" (2/12). Thus whatever experiential "givens" we may be concerned with, the consciousness "in" which they are given is not at all "like an empty box in which these data are simply lying" (2/71f.; cf. 36/106); the object of cognition is not a thing that is "put into cognition as into a sack" (2/74); and the phenomenological reduction is not an operation that "encloses" Being "in" the subject (cf., e.g., 34/173). Instead, the turn to "pure experience" can be much more fruitfully understood in terms of the phenomenological criterion of *evidence.*

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[8] The difficulty that Husserl faces here is that of "inhibiting" a performance that has hitherto never been "consciously" or "explicitly" carried out; we have simply taken it as a "trivial matter of course" that things exist "in themselves" and that we merely come along and grasp them in this or that way (24/153), and this is why the attempt to alter the general "thesis" or "positing" of the natural attitude is so radical (see 3-1/61f.): we cannot immediately refrain from something utterly unthematic, but must first reveal it before we can alter or clarify it (cf. also 34/148ff., 464, 466, 486).

[9] See Boehm 1959/1968 for a careful account of the various senses of the terms "immanence" and "transcendence" in Husserl's texts, and cf. also Seebohm 1989b, 350, 365; Behnke 2004, 21f.

[10] As Seebohm (1989b, 370, 376f.; 1992, 161, 163, 166) indicates, these sorts of critiques can be met by adopting a strictly epistemic (rather than ontological) understanding of the reduction.

[11] See, e.g., 24/227 n. 1 for an example of a passage where Husserl explicitly recognizes the plurivocity of the concept; cf. 24/407 n. 1.

But like the term "immanence," the term "*Evidenz*" too harbors certain potential pitfalls. Without going into the rich secondary literature on this topic, let me simply suggest that we need not always approach the notion of evidence in terms of the search for some sort of absolute, unqualified, uncancellable apodicticity or perfect adequacy.[12] As appropriate as these interpretations may be for attacking certain kinds of philosophical problems, the phenomenological researcher also has the option of turning instead to Husserl's own alternative notion of "degrees" of evidence (11/431; cf. 115, 206) established in the ongoing course of experience, including the experience of deception and correction (17/164). And evidence here simply refers to the givenness of something itself (see, e.g., 17/165ff.).

For example, suppose that – having noticed that Husserl often works out his own descriptions in terms of a basic distinction he draws between the manner of givenness of a perceived "tone" and the manner of givenness of a perceived spatial "thing" – I decide to describe a "mixed" or "transitional" example such as a streaming fountain that flows ongoingly like a continuing sound, yet can be walked around and viewed from various angles like a thing. Some readers may respond to my example by saying, as it were, "yes, yes, I know the kind of thing you mean," while others may actually pause, right here and now, to remember or imagine such a fountain. Still others, however, will not be satisfied until they are able to visit such a fountain (or a similar example of "the same kind of thing") and perceive it in person. Vividly recalling or imagining a fountain is "more evidential" than simply reading the word "fountain" and knowing what it means, but "less evidential" than perceiving one "*leibhaft*" ("in the flesh"). If, however, my target phenomenon is "quasi-experiencing in the mode of phantasy," then the fountain I am currently conjuring up in my imagination turns into firsthand evidence after all (cf. HM8/42), providing me with a living example against which I can check the claims of other phenomenologists as well as with a starting point for my own independent investigations. Now there is, of course, much more that could be said about employing the notion of evidence in the sense that I have indicated here.[13] But the basic point remains that concrete phenomenological research need not, in every case, adopt the model of "evidence" as "absolute and unchallengeable certainty" or "ultimate completeness" that can be guaranteed only in some sort of indubitable (and perspectiveless) inwardness. Instead, evidence is a matter of a continually renewed achievement into whose ongoing style we can always inquire (17/169f.) There is, however, one more point that ought to be made here as well.

The true "target phenomenon" in the previous paragraph might be described as "the lived experience of consulting 'experiential evidence,'" and I have illustrated

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[12] See, e.g., Seebohm 1989a; 1989b, 359ff.; 1992, 161ff.

[13] See, e.g., Ströker 1978 (= 1997, 45–81), and cf. Sokolowski 1974, 18ff., 108f., for some helpful distinctions and remarks. Note also that the issue of recourse to that which is itself-given must be separated from the issue of using free imaginative variation in eidetic-phenomenological research, where the actually perceived fountain receives the status of one possibility among others (see, e.g., 9/74).

the point about "degrees" of evidence with the example of an imagined fountain, which provides us with "better" evidence if we are investigating "phantasy" than it does if we are investigating "perceiving flowing things." But a key question arises with regard to the mode of reading proper to phenomenological work. On the one hand, it is possible simply to appreciate my example "emptily," making sense of the words without cashing them in for the experiential evidence they point to;[14] on the other hand, it is also possible to follow along "experientially," in what I might term "filled and firsthand" evidence. Someone for whom this very distinction is already familiar may not have felt the need to check my claim experientially at this point. But it is crucial to emphasize that if we take the recourse to experiential evidence seriously, we are obliged not only to base our own descriptions on the sort of experiential evidence proper to the project in question, but also to become participants and co-researchers in the phenomenological investigations carried out by others. Husserl is quite clear on this point. "Obviously," he writes, "one cannot read and understand [a phenomenological work] in the way one does a newspaper. One can understand descriptions only if [she/he] knows that which is described, and [she/he] can only know what is described if [she/he] has brought it into clear intuitive experience" (20-1/320).[15] Thus the kind of reader to which Husserl addresses his text is one who "has not only 'attentively' read [the] work but rather has, in a spirit of unprejudiced cooperation such as this work after all requires, actively produced the phenomena in [him/herself] and has performed the analyses and [grasped] the meanings of the descriptions as well" (20-1/319). Phenomenology, in other words, demands not only the adoption of the appropriate "thematic attitude," but also "a direct personal production of the pertinent phenomenon" (20-1/326), and it is only on this basis that phenomenological findings may legitimately be criticized, confirmed, cancelled, corrected, or completed:

> Let the reader try just once to read every assertion which I make in phenomenological contexts just as [she/he] reads a zoological or botanical description of an object – thus as an expression standing for something intuitively experienced or intuitively experienceable and as something that is really originally understandable only through direct intuitive experience. Such an attempt is called the study of this book, and every word which is spoken about this book without the redeeming intuitive experience (and possibly without the disproving one) is just so much hot air. (20-1/322)

Phenomenology, in short, is not a spectator sport. And this has important implications for eidetic-phenomenological investigation. First, however, it is necessary to return to the theme of "reduction" – here still understood as a reduction "principle," i.e., as a tracing-back-to that is complement and counterpart of the epochē "principle" of suspending or refraining-from – and to consider certain difficulties connected with the phenomenological notion of constitution.

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[14] On the metaphor of "cashing in" or "redeeming" an empty "promissory note" for the fulfilling evidence, see, e.g., 2/62; 25/32; 20-1/322; 11/22.

[15] On pitfalls connected with the term "intuitive," cf. Behnke 2004, 23f.

5   Constitution: Correlation, Complicity, "Consciousness"

Let me begin by referring to one of the ways in which the notion of "constitution" has been treated within the phenomenological literature: namely, in terms of a distinction between a "metaphysical" sense of the term and a "methodological" sense of the term.[16] The metaphysical or idealistic understanding "proceeds on the understanding of consciousness as a region of absolute Being … and of constitution as a positing of the world within and by transcendental subjectivity," whereas the methodological understanding "takes the idea of correlation as fundamental and irreducible …" (Mohanty 1981, 12). I find that the methodological sense of constitution as correlation is far more fruitful for those engaged in concrete phenomenological research. In fact, here I will radicalize the methodological sense of the term by suggesting that "constitution," in this highly technical sense, is not a real operation that anyone "does"; rather, the general title of "constitution" refers to *constitutive correlations that are revealed by the activity of doing constitutive phenomenology itself.*[17] To put it another way, what constitutive investigation discloses – in detail, in each specific case, beyond the sheer formal structure known as "intentionality" – is a *complicity* between perceiving and perceived, thinking and thought, and so on. Constitutive phenomenology thus works to dispel the naive "ready-made-ness" of the world as we have always already found it, and begins to bring out the multifarious ways in which our own comportment (taking this term in a very broad sense) is co-implicated in the kind of world we experience.[18] And it is precisely because we live in a "natural attitude" that tends to take the world and things as "ready-made" that constitutive phenomenology involves what I have referred to as the reduction "principle" – a *Rückfrage, Zurückfragen,* etc., that asks "back" to what has hitherto remained the "silent partner" in the correlation, whether this be called "consciousness," "subjectivity," "world-experiencing life," etc. One pitfall here, however, might involve indiscriminately back-reading the results of every such investigation into "consciousness" (or, for that matter, "the unconscious") considered as an agent that has somehow "constituted" the world (or some object within the world) in the sense of "creating" it or "actively bringing it about." Here I do not mean to undermine Husserl's notion of the "achievements" *(Leistungen)* of "consciousness"; instead, what is at stake is distinguishing the technical phenomenological notion of "constitution" from mundane senses of "making" or "producing."[19] But there are some further nuances to be observed.

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[16] See, e.g., Landgrebe 1963, 147 (= 1981, 136); cf. Funke 1966/1987, passim, on the implications of this distinction in general.

[17] Cf. Larrabee 1990, 195, where phenomenology as a whole is taken as the correlate of phenomenologizing.

[18] Thus experience is not something like a window – "an opening through which a world, existing prior to all experience, shines into a room of consciousness" (17/239) – but functions as a streaming nexus of sense-constituting performances whose ongoing style and whose sedimented history are precisely what constitutive investigations are to bring to light (17/240ff., 251f.).

[19] See, e.g., Funke 1966, 195, 206f. (= 1987, 144, 151).

In the first place, the experiential evidence itself would seem to indicate that some of the *philosophical* discussion of "constitution" has tended to conflate two *experientially* distinguishable features: the correlation principle itself, and what may be termed a principle of "initiation" or "responsibility." Now to call attention to this distinction is certainly only a tiny step toward working out the difficult phenomenological themes of the "activity," "passivity," and "receptivity" of "consciousness" or "subjectivity." But I can at least indicate the problem by referring to a discussion that I heard among some North American colleagues a number of years ago, a discussion in which "constituted *by* consciousness" was matter-of-factly *contrasted* with "given *to* consciousness," as though the term "constitution" was being reserved for active synthesis and did not cover the kinds of cases that Husserl analyzed under the title of passive synthesis. Or to put it another way, it is as though the term "constitution" has been used to imply that an "arrow," as it were, of initiation or responsibility goes from consciousness to the world, in such a way that consciousness is accorded a foundationalist "privilege of primacy" (Schrag 1991, 6), while world, things, and others are granted only a derivative status. However, if we are able to place in brackets the philosophical preoccupation that would search for a privileged grounding "source," we find that Husserl's own concrete descriptions of the correlational structure of experience, precisely as it is lived, indicate that there can be not only a "direction" going from the pure I to objects, but also a "counter-direction" of affection coming to the pure I from objects.[20] Thus what functions, experientially, as "source" can vary, and to "partner" the world does not always mean to be the leader in the dance.[21]

For example, just because our constitutive investigations can ask "back" from, say, the naively given world of things that are "near" to or "far" from the co-implicated corporeal subjectivity for whom things are "near to hand" or "out of reach," this "asking-'back'-to" does not have to mean that such a subjectivity "was" (or "is") ontologically "first" or "primary," while the structure of the experienced world was (or is) somehow "second." (Indeed, it is equally because the things are already experienced as necessary, desirable, or enticing – or perhaps threatening and to be "kept at a safe distance" – that the world winds up being structured in this way.) All that is being said here is that there is an operative correlation between situated corporeal capability and the articulated depth of the experienced world as a field for perception and action. Thus when we think "constitution" quite strictly in a methodological rather than a metaphysical way, the intentional arc *"only connects,"*[22] and constitutive analysis of pure experience unpacks the "how" of this without

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[20] See 13/246, and cf., e.g., 4/219f.; 11/148ff., 166ff., 272; 34/191, 487; HM8/35f., 47, 52, 183ff., 197, 318ff., 350f.; Cairns 1976, 40, 53, 88.

[21] See also Seebohm 1989b, 376f., and 1992, 163, on the difference between epistemic and genetic priority.

[22] I have placed these words in quotation marks to acknowledge a resonance with the epigraph to E. M. Forster's 1910 novel, *Howards End:* 'Only connect …'. Cf. also Funke 1966, 90f. (= 1987, 67f.).

necessarily deciding in advance which "side" of the correlation ought to be honored with the designation "origin," "ground," or "source."[23]

It is nevertheless still necessary to clarify some issues that arise from talk of the subjective "side" of the correlational a priori, variously referred to as "consciousness," "the" subject, the transcendental "ego," "world-experiencing life," etc. Here too there are many problems and pitfalls, and I cannot do full justice to them all. However, since my aim is not to resolve outstanding philosophical problems, but rather to suggest fruitful ways in which phenomenological strategies may be taken up and put into play, the following remarks may be helpful for those interested in pursuing phenomenological research. Dallas Laskey has pointed out that when we consider the notion of "transcendental consciousness" in the context of "evidence" – understood, as I have already indicated, in such a way that what we mean by "experiential evidence" is not confined to instances of perfect adequacy or apodicticity – then

> the study of transcendental consciousness becomes equivalent to the study of transcendental experience generally or transcendental subjectivity; the fully executed evidence problematic shows why it is impossible to draw a sharp line between transcendental subjectivity and transcendental intersubjectivity. Thus the term 'consciousness' applies to the entire range of human experience and takes on a radically different sense than that in the Cartesian tradition. (Laskey 1985, 88)

In this new sense,

> Consciousness is no longer restricted to the states of immediate awareness of a single ego. To use a vertical metaphor, it extends down into the vital functioning of the living body with bodily intentionalities and up to the highest of our theoretical acts in the cultural milieu. On the horizontal plane, it extends from the cogito of the single ego through the entire life of that ego and beyond to include other egos, and finally to the very origins of civilization itself. Thus the concept of consciousness is extended to the very limits of human experience so that there is nothing with which it may be contrasted (e.g., the unconscious). (Laskey 1985, 97f.)

J. N. Mohanty makes a similar point, albeit with a somewhat different terminological refinement, when, in the context of his discussion of "Intentionality and the Mind-Body Problem," he suggests that "one of the implications of the concept of bodily subjectivity" – a notion he finds amply justified – "is that the concept of subjectivity is wider than the concept of consciousness. It also entails that intentionality is a distinguishing feature, not of the domain of consciousness, but of the larger domain of subjectivity" (Mohanty 1985, 138 [= 2004, 330]). Moreover,

> The concept of subjectivity should also be dissociated from the epistemological concept of "subject." Nor do the concepts of subjectivity and consciousness necessarily hang together

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[23] Here I should emphasize once again that I am not proposing an interpretation that will accurately reflect the way the term "constitution" has actually been used (by Husserl or by anyone else) in each and every passage in which it occurs. Instead, I am suggesting that constitutive analysis – as tracing-out of correlations – is indeed a key tool in phenomenological research, yet working in this way need not entail the historically related, but separable, decision to apply what is revealed in such research to traditional philosophical problems (e.g., the search for a foundational "primacy" that would serve as some sort of ontological ground or "guarantee").

with the concept of "representation" (of reality) and/or the priority of the temporal dimension of presence over the other modalities of time as Heidegger would have us believe. Released from these historical and metaphysical preconceptions, the phenomenological concept of subjectivity is multifaceted: it is both pre-reflective and reflective, both bodily and intellectual, aesthetic as well as logical, non-temporal as well as temporal. (Mohanty 1985, 138 [= 2004, 330f.])

In other texts, Mohanty addresses the theme of "subject" as an epistemological concept and contrasts it with the notion of "person," suggesting that what is usually referred to as the Husserlian transcendental "ego" is more of a transcendental "person."[24] What all this goes to show is that it is by no means decided in advance "who" stands on the "subjective" side of the correlational a priori – this must be worked out in the context of specific investigations, and the results may vary according to the styles of experience and the types of phenomena being studied.

If, for example, I am studying how mathematical truths are given for human consciousness, I may well find that the "subjectivity" in question is a transtemporal possibility of thinking these selfsame truths – a sort of standpoint that I can adopt irrespective of my own personal and historical situation, as long as basic requirements of comprehending "mathematics" per se are met. On the other hand, if I am researching, say, perceptual horizons, I will find myself describing a transcendental corporeal subjectivity (cf. Mohanty 1985, 133 [= 2004, 326]) or kinaesthetic consciousness. And if I am investigating my own (perhaps hitherto tacit) experience of myself as "male" or "female," then what I will be tracing this constituted "given" back to may well be a thick network of intersubjective, social, historical, cultural, and linguistic institutions, practices, and "modes of perception" that are the complex constitutive correlate of this experiential "given," "I as 'male'" or "I as 'female'" insofar as it is precisely when these sedimented patterns and modes of experiencing are in play that the correlative specific senses of "male" and "female" – or perhaps even the sense "male *or* female" – will be experienced. Thus a phenomenological investigation of "the background network of social and institutional practices" can complement the more typical phenomenological focus on the speaking and acting subject, and indeed, can help ensure that this subject is recognized as "dialogical and interactional rather than as monological …" (Schrag 1991, 6). In fact, retrieving an anonymous, sedimented horizon that has shaped my own current experiencing is at the heart of the constitutive *Rückfrage:* the very (inherited) assumptions that I initially "bracketed" in order to begin my phenomenological labors do not, as I have already indicated, thereby simply vanish; instead, they are not only "brought to light," but can be "brought to life" *as* sedimented "achievements" insofar as I succeed in reawakening or "reactivating" the sediment[25] and bringing the otherwise merely "languidly available past" (Sokolowski 1974, 168) to critical awareness

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[24] See Mohanty 1980; 1989, 144. Mohanty's suggestion is confirmed in some of Husserl's B I 5 manuscripts; see, e.g., 34/317, 453, and cf. xxxvi, 153ff., 240ff. (esp. 246).

[25] See 6/72, 152, 371ff.

rather than passively (and naively) swinging the same nexus of presuppositions into play once again. It may indeed be the case that what is thereby retrieved is "anonymous" in the sense of not being traceable back to "anyone in particular" as its "author" – one thinks here especially of language itself (or: languages themselves). But even here, the individual "subject" (or person) who must call upon the resources of this anonymous language whenever she/he speaks is not merely at its mercy, as though to speak meant inevitably to perpetuate everything that was already at work in the inherited linguistic practices concerned. To put it another way, I myself may not be in control of every detail of my destiny, but I have a certain "leeway" in how I take up and carry forth the cultural heritage that has been sustained by these inherited modes of discourse and practice: I need not perpetuate the "received tradition" *exactly as received,* but have some room to maneuver – and in such a way that the tradition itself can also begin to shift. Thus phenomenological research into individual lived experience can be transformative and liberating for both the individual person and the reigning social practices. I will return to the question of the possible transformative effects of phenomenological practice below. First, however, I will discuss one more set of potential pitfalls for phenomenological practice – namely, those connected with doing eidetic phenomenology.

6   From "Eternal Essences" to Shareable Experiential Possibilities

One of the major possible criticisms confronting eidetic phenomenology may be somewhat abruptly stated as follows: insofar as eidetic phenomenology seeks "essences," understood as unchanging atemporal "invariants," it is accused of being insensitive to historical and cultural concerns, to issues of gender, and indeed, to *difference* in any form. These are important issues, and have surfaced in part to counter a historical tendency to universalize features of human experience that might more properly be predicated of a small class. However, eidetic phenomenology need not be seen as just another unwarranted attempt to define all humans, once and for all, in terms that are applicable to only a few and that erase or efface human multifariousness.

The first point here is that it may not always be fruitful to frame an eidetic inquiry in terms of a search for "the" essence of something-or-other. This is not to rule out the precision one can sometimes attain at the end of an investigation when one proposes certain features as being a matter of "essential necessity," or conversely, "essential impossibility." Nevertheless, it seems best to begin with an inquiry into "essential possibilities" (and to understand from the start that any factual individual may be taken as exemplicating *many* such possibilities). By "essential possibilities" I mean experientially accessible features that may be exemplified on more than one (actual or imaginable) occasion, in more than one (actual or imaginable) case, even

though the "facts of the matter" may differ each time.[26] Furthermore, I take it that to propose something as an "eidetic" structure is to propose an experiential structure of predelineations, of "determinable indeterminacy along given lines," inviting confirmation (or revision) as new examples suspected of being examples "of" the same structure or feature (despite their differing factual details) are come upon or generated. Note that this way of understanding eidetic inquiry does not make eidē into inhabitants of some high-flying Platonic region; rather, they are understood in terms of the *actual experience of doing eidetic investigation,* i.e., in terms of structures (themselves eidetic) of expectation and fulfillment (or disappointment, or retroactive revision of the way in which what was to be expected had been tacitly delimited or defined, etc.).[27] Eidetic claims, in short, are *invitations to evidence:* they are proposed, not so that they can be set up on a pedestal as "absolutely and eternally universal," but so that they can be checked again and again by each new researcher, so that they can be tested in every human situation and revised not only if new experiential evidence challenges the original claim – for example, by subsequent researchers calling attention to counterexamples that could have been, but were not, taken into account in the initial investigation – but also if the "things themselves" change (e.g., certain experiential possibilities may be lost or gained as "things change" in the sense of shifting historically).[28]

What emerges in research conducted in this way is not a bare distinction between "universal" and "instantiation," but a richly articulated cluster of findings at various "degrees of universality." For example, new and different findings need not always flatly "contradict" previous findings, but can situate or contextualize them by demonstrating the limits of their legitimacy – the "invariant" we had discovered running through all the "variations" turns out to be itself one variation, among others, of a still more embracing "invariant." The initial findings may well continue to hold good within certain limits. But this can only be determined by rigorous recourse to the experiential evidence itself. (And nothing here, incidentally, precludes the possibility of certain claims turning out to be utterly "universal" or "invariant" in some absolute sense after all;[29] it is simply that the kind of eidetic investigation I am describing here does not take the establishment of such absolute claims as its only goal.)

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[26] For more nuances, see Mohanty 1959. On the "exemplicating" move that takes something or other *as* an "example of …" rather than considering it in its own right, see Zaner 1973b, 31ff., 38ff.; 1978, 6ff., 13f., and cf., e.g., HM4/175, 189. Here I am setting aside the various controversies concerning the difference between "eidos" and "type" – see, e.g., Schutz 1959/1966, but cf. also Behnke 2004, 25ff.

[27] Cf., e.g., Waldenfels 1980, 13, 82. Note that here too, as with "constitution," I am proposing a correlational understanding of a phenomenological "working notion" such that eidetic-phenomenological structures are correlates of eidetic-phenomenological investigation and are only given for an appropriately "*eingestellt*" consciousness – i.e., one that has adopted the appropriate attitude, interest, focus, etc., and is thus not operating within the attitude proper to ontological "essentialism" at all. Cf. also Laskey 1984, 99f.

[28] In this way a critical phenomenology "does not detach itself from historical developments; rather, it finds its peculiar field of work within the historical horizons" – Funke 1966, 109 (= 1987, 81).

[29] See, e.g., Seebohm 1989b, 364, 374; cf. 1992, 161f.

Moreover, when understood in the context of a continual recourse to experiential evidence, "universality" comes to mean the very *"capacity to become shared"* (Gendlin 1982, 332f.). In other words, eidetic structures or features need not be taken as always and already shared by everyone; instead, they are possibilities that I may first come to recognize when I encounter them in the other (or perhaps fail to recognize at first, in the shock of coming up against the radically other), but can then attempt to make my own as well. In this way, the impulse to eidetic phenomenology may be seen to move in at least two quite fruitful directions. On the one hand, eidetic phenomenology is inclusive: it moves toward the "most generous common denominator," toward a situated and relative "invariant" that acknowledges a potent kinship among actual and imaginable variations. It "bridges," if you will. Yet on the other hand, it is also expansive: it helps to prevent me from assigning exclusive validity to the familiar styles and structures of my own sedimented cultural and historical tradition, and leads to a more pluralistic appreciation of human experience (cf. Bello 1989, 116f.). Thus it has something to teach us about respect as well. Eidetic phenomenology, then, can open up an immense range of human possibilities in terms of *articulated interconnections* in such a way that we are able to discern commonality without denying difference.

I must not, however, attempt to become "too plural" too soon: I must do my descriptions from within my own situatedness, and phrase my results in as generous terms as possible, but await most eagerly precisely those responses that I could not predict, for these will be the ones that signal the limits of my own investigation and propel the research still further by making it yet more communal and reciprocal. Thus eidetic phenomenology is no flight toward a sole and abiding atemporal truth, but an ongoing task of making shared sense. This, however – along with everything else that I have said so far – raises some provocative questions about the status of "phenomenological description" and the effects of "doing phenomenology."

7   Phenomenological Research as "Productive Action"

I have suggested that "constitution" is not best thought as though it were some sort of real "activity" that someone "does." Instead, constitutive analysis traces out, and brings to our explicit attention, correlations that were "already" at work before I started to phenomenologize about them. Similarly, the epochē suspends a naive habit of positing that was "already" in place in the "natural attitude," just as all of the other assumptions that I as researcher may place in brackets are so placed precisely because they were "already" functioning in the way I initially approached the phenomena – as a subsequent "unpacking" or "reactivating the sediment" will show in more detail.[30] And even though I have presented eidetic-phenomenological research as an ongoing and corrigible endeavor ever open to new experiential evidence, it is still possible to criticize the very notion of "eidetic structures" as established regularities in which everything important is "already" predelineated and only the factual details

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[30] Cf. Waldenfels 1989, 23 n. 7 (= 1990, 96 n. 6).

remain to be discovered in the course of actual experience:[31] even the "new" fits into the framework of the old, and the very decision to pursue the path of eidetic "variations" threatens to make the open field of experience and action into a closed system within which only reproductive action that reiterates styles and structures "already" in force is possible, never productive action that shifts contexts rather than reinstating them.[32] To put it another way, the project of phenomenological description begins innocently enough with a turn to what is "already" given, but the ensuing "description" runs the risk of turning not merely into "prescription" but also "proscription," not only relentlessly ordering the different in terms of the similar, but also relegating any more radical "difference" that may emerge in the course of experience to the margins of the investigation, while simultaneously blurring other possible ways in which the entire investigation could have been organized in the first place.

What these reflections reveal, I think, is a certain "past-orientation" at work in much phenomenological research. Husserl finds that retention makes phenomenology itself possible because it allows us to retrieve and reflect upon the otherwise fleeting lived experience; Reeder recommends working on a description of an experience not in the most immediate core of the now as it is actually happening, but only "as it is held in *retention*" in order to avoid the process of analysis changing it.[33] And everywhere our phenomenological task would seem to be archaeological in spirit even when it resists any tendency to search for an ultimate and ruling "beginning" *(arkhē),* insofar as it retrieves and displays what is "always already" pregiven.[34]

At this point, let me allude in passing to the twin theses that truth is or ought to be the knowledge of what is, and that Being is one and the same, so that true Being not only always already "is," but is "this way."[35] And let us suspend the automatic acceptance of these claims, placing their efficacy in brackets (while also noting that they too, as claims, can be traced-back-to a certain historical tradition, etc.). Such a move opens up the possibility of a different type of question: can there be an actual experience of doing a phenomenological description in which the experiential evidence shifts in response to our explicitly turning to it and thematizing it? The work of Eugene T. Gendlin[36] would seem to answer this question with an emphatic yes, as would the

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[31] Waldenfels 1975, 70 (= 1980, 85).

[32] See Waldenfels 1985, 140f.; 1987, 144f. (= 1996, 90f.); 1989, 20ff. (= 1990, 92ff.).

[33] Reeder 2010, 28; cf. 71, 84 n. 2. See also, e.g., 34/169f. on the contrast between the primal streaming – the continual upwelling of an ever-new now – and the acquisition of a "settled" past, persisting as identical, remaining what it was no matter how many times I return to it and examine it (cf. HM8/30f., 44f., 84, 90ff., 95f., 395).

[34] Cf., e.g., Waldenfels 1992, 61. What is at stake here is not simply the genetic priority of the natural attitude over the phenomenological attitude (see, e.g., 8/475; 34/175, 461f., and see also n. 21 above), but whether or not the project of phenomenological description per se must always and everywhere be directed to what has already been "settled," to the abiding, the "fixed."

[35] See, e.g., 11/passim on the entire issue of a determinate world whose future course is somehow decided, in itself, in advance, vs. the ineluctable presumptivity of perception and its continual anticipations; on the general theme of the project of knowing and its dependence on an "integrating" consciousness whose correlates are abiding transtemporal unities/identities available for explication, further determination, etc., see Behnke 2009, 210ff.

[36] See the extensive material available at www.focusing.org; cf. A. Zirión's essay below.

investigations of several other researchers. Phenomenological description, as Gendlin shows, does not merely "lift off" its results ready-made, but "articulates" – not only in the sense of "giving voice to," but in the sense of offering distinctions, differentiations, "joints." Yet the working phenomenologist finds that she/he cannot impose just any structure whatever on the experience; the phenomena talk back, the experiential evidence resonates or does not resonate with a particular way of articulating it, and quite often a felicitous formulation that fits the experiential evidence perfectly acts, not to "freeze" the experience into this and only this pattern, but to open it out anew, so that it shifts in surprising and unpredictable ways. This is especially noticeable when the research theme requires careful attention to the *protentional* horizon, in its living immediacy,[37] but can be observed in other sorts of investigations as well: the phenomena not only "resist" an inadequate description, but flower and move forward under a promising one. Eidetic investigation, in short, remains an "*open process*" precisely insofar as it is true to an "open experience" in which not only the "new," but the genuinely "novel" can emerge.[38] Thus it is possible for phenomenology to function as a type of "action research" that fosters, or permits, "productive action." And I find that working in this interrogative/interactive way makes the researcher both a part of and a participant in what is thereby emerging, neither "author" nor "victim," neither merely "reiterating" nor merely "violating" contexts already in place, but "moving-with" a shifting order that responds to me as I respond to it.

8 Walking the Paths Themselves

Phenomenology, as has often been pointed out, is a zig-zag operation. And although various zig-zags have been identified,[39] the one most relevant here is the oscillation between phenomenological practice and methodological reflection on such practice.[40] On the one hand, if one spends all one's time in the workshop thematizing

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[37] See, e.g., Behnke 2009. Here it is not possible to discuss the ways in which the specific areas of research one takes up shape the way in which one appropriates and interprets "phenomenology" in general.

[38] Waldenfels 1975, 75 (=1980, 89), and cf. also Behnke 1999; 2004, 32ff.

[39] See, e.g., 19-1/22f. (cf. 18/11; Cairns 1976, 27; Reeder 2010, 51, 59), where it is a question of new phenomenological clarifications transforming the way in which we understand our original phenomenological analyses (and cf. 38/4); see also 6/59, where – in the context of reconstructing Galileo's mathematization of nature – it is a question of moving back and forth between present-day science on the one hand and its origins and development on the other, with clarification of each of these contributing to elucidating the other (cf. also HM8/357). For further zig-zags (e.g., between lived experience and the draft of a description-in-progress, or between theory and practice), see Behnke 1999.

[40] See, e.g., 24/387 on the necessity of interrupting one's current phenomenological work in order to get clear and its sense on method before returning to the work itself; note, however, that any such methodological reflection presupposes the actual experience of putting the method in play (see, e.g., HM8/7).

the working tools, then the work that the workshop was set up to do will not get done.[41] On the other hand, however, any attempt at actually carrying out a phenomenological investigation of a specific topic assumes a particular way of taking up the phenomenological tradition, and coming to methodological clarity about how we are doing what we are doing can only improve our concrete practice. Thus insofar as the purpose of methodological reflection is to help us put the methods themselves into play, there is a certain priority of phenomenological practice over phenomenological theory. As Husserl wrote in 1906,

> We need not only knowledge of goals, guiding principles, standards, methods, and of our posture toward other areas of knowledge and other sciences. We also need the actual execution. We must walk the paths themselves. We must step-by-step solve the particular problems. (24/445)

Returning to the same metaphor twenty-five years later, he not only insists once again that we must actually set forth on the path, but acknowledges that at first, all we may have is an anticipatory predelineation of a possible path to follow – a path whose fruitfulness can only be demonstrated by taking it (34/291). Thus it would seem that the key to appropriating a Husserlian phenomenological approach is in fact to attempt to put it into actual practice, answering the question "but how can I do this?" precisely by trying to do it (cf. 34/293). Yet there is a larger issue that I must at least comment on here.

Husserl undoubtedly saw his lifework in terms of *philosophy*,[42] and developed his transcendental phenomenology in accordance with the ideal of radical philosophical self-responsibility and its task of ultimate critical justification. It is nevertheless also the case that on a number of significant occasions, he makes a clear distinction between "phenomenology," "pure phenomenology," or "phenomenological method" on the one hand and "phenomenological philosophy" on the other.[43] There is thus a sense in which it is possible to see "phenomenological philosophy" as one type – albeit a very important type – of "applied phenomenology," along with phenomenological psychology, phenomenological sociology, etc. Here I mean no disrespect to phenomenologists who are trained in philosophy and see phenomenology only in philosophical terms. But I do find it helpful to distinguish phenomenology itself, as a program of research leading to *warranted description* that is *situated/open,* from more philosophical concerns. To put it another way, the appropriation of phenomenological "working notions" that I have been carrying out here is geared toward "pure phenomenology" rather than toward "phenomenological philosophy." And this means that no matter how seriously and respectfully I attempt to take up Husserl's working tools for myself and to discuss them on the

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[41] Here one thinks of the poignant anecdote (related in Spiegelberg 1982, 149 n. 2) of Husserl as a child wholly caught up in sharpening a pocket-knife to an ever keener edge while the blade itself got smaller and smaller.

[42] Cf., e.g., 24/445ff.; 8/195f., 203; 27/54f., 185, 207, 220f., 238, 240ff.; 6/15ff., 269ff., 334.

[43] See not only the title of the *Ideen,* but also 19-1/6f.; 25/63f.; 35/311.

basis of the lived experience of actually putting them into practice, I am in effect departing from those paths that were of most concern to him. Thus my attempt to "reactivate" the Husserlian tradition by *doing* phenomenology anew, rather than merely talking "about" Husserl's texts, winds up shifting the very tradition to which I am trying to be true, since even though I have in fact referred to many of his texts, I have removed them from the nexus of philosophical motivations serving as their native context.[44] In short, by rigorously separating phenomenological method from phenomenological philosophy, I have effectively transplanted the Husserlian "paths themselves" to new soil, so that they may no longer lead to the "promised land" (24/445; 5/161) to which they were meant from the start to open a way (5/148, 162).

Yet whether or not my approach is still "Husserlian" (and if so, in what sense), we can still ask the following question: why *do* we cite, refer to, claim to base our work on texts written by others? The classic answer is to legitimize what we want to say – just as one might cite the scriptures of one's religious tradition in order to show that one's view are orthodox rather than heretical (a procedure with much practical survival value in more contexts than one). But such a motivation would seem to be misplaced where it is a question of a plurality of traditions and of inter-actions, intersections, and conversations between them. Instead, it is, at least for me, a question of *community:* by setting forth what I take from a tradition and how I take it up, I simultaneously differentiate myself from those who are working differently and draw nearer to those who share my concerns and my way of working, or even my personal sense of kinship with Husserl's endeavors and my commitment to trying out his tools in the workshop for myself. But in the end, I cannot blame Husserl for what I do; I can only acknowledge that I would not be doing it without him. For it is only by attempting to follow in his footsteps that I have begun to find my own footing on the newly unfurling path that first emerges when I actually begin to walk this path itself: the limits and the possibilities of phenomenological practice come to itself-givenness only in and through our daring to engage in this practice ourselves.

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[44] See Larrabee 1990, 201ff.

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Percept, Concept, and the Stratification of Ideality

Luis Román Rabanaque

Foreword

Since this paper mainly deals with levels and strata, let me begin by incidentally sketching three levels or stages one can distinguish in phenomenological investigation, namely, a founding level of primary evidencing, or what Lester Embree calls direct experiencing in its proper sense, a founded lower-level of scholarship, or what he terms indirect experiencing, whereby phenomenological evidence is conveyed or, better, guided by evidences taken from other thinkers (e.g., philosophers or scientists), and still a further founded upper-level that could perhaps be called construction, a kind of stepping beyond the given and projecting what, in a certain good sense, one might call metaphysical over-arching guidelines. Now unlike the steps in a stairway, these stages are not simply left behind while one is climbing up, but they rather resemble M. E. Escher's never-ending stairways, where the uppermost step is at the same time the lowest one, and hence the end becomes a new beginning (like his 1960s lithograph "Ascending and Descending"). The present essay is largely confined to the second stage, i.e., to scholarship. However, since it is hopefully not confined to a summary of Husserl's text, it also sets foot in case analyses as well as in comprehensive linkings of phenomena. First motivated by the – now a little aged – discussion on the question whether Husserl's noema is to be primarily understood as *percept* or as *concept*, the subsequent course of my investigations led me to see it rather as a complex whole whose parts are arranged in certain eidetic patterns that, following Husserl, can be best described in terms of 'stratifications.' This in turn threw light on the way percept and concept are related to one another, but also allowed the inquiry to pursue the exploration of further aspects of the multidimensionality of noematic stratification.

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1 Introduction: The Dispute

There has been much discussion on Husserl's notion of the noema during the last 40 years. All the parties involved agree as to the importance of the subject, but they disagree as soon as its nature and structure are at issue. For the most part, interpreters have followed either Aron Gurwitsch's understanding of the noema on the basis of perceptual sense,[1] or Dagfinn Føllesdal's 'analytic' reading of the noema as a generalization of linguistic meaning.[2] Both points of view build their conclusions mainly on Husserl's early work, specifically the *Logical Investigations* and the First Book of the *Ideas*, and textual evidence is available for either side.[3] I would like to begin by briefly summarizing three important lines of disagreement between these ways of seeing the noema. The first one is related to their attitude towards phenomenological methods, the second one deals with the relation between sense and object, and the last one concerns the noema's ideality:

(a) Typically, the analytic interpretations either ignore the transcendental reduction – as does Føllesdal in his famous article of 1969 – or tend to equate it with a propositional reflection directed toward meanings – as it is the case with Smith and McIntyre's view. On the other hand, Gurwitsch understands the methodological dismissal of William James's 'constancy hypothesis' carried out by Gestalt-psychology as an 'incipient' phenomenological reduction,[4] thus concluding that its descriptive analyses are actually valid noematic analyses.[5]

(b) By means of a comparison of Frege's distinction between sense (*Sinn*) and reference (*Bedeutung*) with Husserl's difference between sense (*Sinn*) and object (*Gegenstand*), Føllesdal concludes that the noema is an intensional, abstract entity like Frege's *Sinne*. The noematic sense is therefore a generalization of the

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[1]Cf. Aron Gurwitsch, *The Field of Consciousness* (Pittsburgh: Duquesne University Press, 1976); *Studies in Phenomenology and Psychology* (Evanston, Illinois: Northwestern University Press, 1966), and the following articles: "Perceptual Coherence as the Foundation of the Judgement and Predication," in: F. Kersten y R. Zaner, *Phenomenology: Continuation and Criticism* (The Hague: Martinus Nijhoff, 1973), and "Towards a Theory of Intentionality," *Philosophy and Phenomenological Research*, vol. 30 (1970).

[2]Cf. Dagfinn Føllesdal, "Husserl's Notion of the Noema," *The Journal of Philosophy* 66 (1969): 680–687. Reprinted in: Hubert L. Dreyfus and Harrison Hall (eds.), *Husserl, Intentionality and Cognitive Science* (Cambridge/London: The MIT Press, 1982), and "Noema and Meaning in Husserl," *Philosophy and Phenomenological Research*, Supplement (1990): 263–271. See further D.W. Smith y R. McIntyre, "Intentionality via Intensions," *The Journal of Philosophy*, vol. LXVIII, no. 18 (1971); D. Woodruff Smith y R. McIntyre, *Husserl and Intentionality. A Study of Mind, Meaning and Language* (Dordrecht: Synthese Library, no. 154, 1982), and Izschak Miller, *Husserl, Perception and Temporal Awareness* (Cambridge, MA: The MIT Press, 1984).

[3]Føllesdal also invokes Husserl's unpublished manuscript B III 12, but as far as I know he never specified the manuscript's page number after the official *Signatur* of the Husserl Archives at Leuven.

[4]William James, *Psychology*, vol. I, p. 459f., quoted by Aron Gurwitsch, "Towards a Theory of Intentionality," p. 359.

[5]Aron Gurwitsch, *The Field of Consciousness*, p. 170.

properties of linguistic meanings to all intentional correlates. Consequently, he assimilates Husserl's object to Frege's reference and – as Frege himself does both in virtue of his understanding of proper names and of his conception of the truth-value (*Wahrheitswerth*) – ultimately to the empirical, non-reduced thing in Nature. Gurwitsch's stress on perception, on the other hand, leads him to see noematic sense at large from the point of view of the perceptual adumbration or percept, and, on this basis, to interpret the object as the internoematic system itself as a whole, that is, as the immanent "contexture" resulting from the coherence among the senses.[6]

(c) Now these palpably colliding features of the intentional correlate point to another crucial issue, namely to the noema's *ideality*. Føllesdal's identification of noema and Fregean sense may seem to hold good for the realm of pure, identical meanings, but if this were the case, it would be at the cost of leaving unsolved the problem of the perceptual noema, where a non-intensional, sensuous component is involved. On the other hand, focusing on the percept makes for Gurwitsch possible to harmonize the sensuous and the intentional elements, but in turn at the cost of calling into question the continuity between percept and linguistic meaning.[7]

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[6]Cf. Aron Gurwitsch, "Perceptual Coherence as the Foundation of the Judgement and Predication," p. 76; see further *The Field of Consciousness*, p. 216; 294ff.

[7]Naturallly there have been intermediate positions. Donn Welton and Hubert Dreyfus, for instance, have pointed to the fact that conformity between noema and Fregean sense does and can only hold good within static analysis, where time-consciousness is methodologically set aside. The 'striking similarities' alluded to by Føllesdal seem to blur when genetic analysis is taken into account. Welton shows how the understanding of noematic sense in *Ideas* inherits the logistic model of the *Logical Investigations*, where sense is understood as fulfillment of empty significational intentions, so that what is emptily intended as meaning may then be intuitively given in person. Cf. Donn Welton, *The Origins of Meaning* (The Hague: Martinus Nijhoff, 1983), p. 124. This isomorphism between linguistic meaning and perceptual sense allows Husserl to transpose the noetical features of the act, i.e. matter, quality, and sensation, to correlative noematic structures, respectively sense, character of Being, and fullness. Cf. H. Dreyfus, "Husserl's Perceptual Noema," en: Hubert L. Dreyfus and Harrison Hall (Ed.), *Husserl Intentionality and Cognitive Science*, p. 108. The same analysis, however, discloses noematic features that cannot be directly translated into meanings, so the attentional changes, the temporal and spatial manners of orientation, and the degrees of clarity and distinctness, and this shows a divergence between meaning and sense that is ultimately related to Husserl's step towards genetic phenomenology. Cf. D. Welton, *The Origins of Meaning*, p. 292. J. N. Mohanty expresses a similar thought when he claims that the relationship between Fregean sense and noema should rather be taken the opposite way, thus suggesting a Husserlian reading of Frege instead of a Fregean reading of Husserl. Mohanty admits that an act's noema, like a Fregean sense, makes reference possible, but insofar as the latter belongs to linguistic signs and not to acts, it is not intentional and thus cannot be genuinely considered in phenomenological terms. The concept of sense therefore wavers from a linguistic meaning as an non-temporal entity to a psychic content, in a tension which cannot be resolved by language analysis alone. It is Husserl's treatment of the noema as moment of the act which can throw light upon this difficulty. Cf. J. N. Mohanty, *The Possibility of Transcendental Phenomenology* (Dordrecht: Martinus Nijhoff, 1985), p. 18. See also Richard Cobb-Stevens, "Logical Analysis and Cognitive Intuition," *Etudes Phénoménologiques* IV, no. 7 (1988). Mohanty admits that not every noema is conceptual in structure; first of all, perceptual noema is only 'implicitly' conceptual, insofar as it can be raised to the level of meaning by means of expressions.

Now if we trace the development of Husserl's conception of the noema in the time between the *Logical Investigations* and *Ideas I*, we discover another tension, which is the result of two conflicting characterizations of intentionality: In the early theory of the *Investigations*, the sense-giving function of the *noesis* is chiefly understood on the basis of speech acts, while in the transcendental theory of the *Ideas I*, the *noema* is largely interpreted on the basis of perception. It seems to me that, to an important extent, this tension has been the background of such a controversy about the noema. We shall now focus on it.

2   The Tension Between Language and Perception

From the *Logical Investigations* to *Ideas I*, Husserl's understanding of intentionality as sense-bestowal or sense-giving has been largely influenced by the features of the intentional structure of speech acts which he developed over against Brentano's conception of intentionality. Brentano understands intentionality as the defining feature of psychic acts in the proper sense, like *hearing* a sound, in contrast to physical acts (or sensations), like the sound *heard*. The acts of hearing, seeing, etc., but also the acts of judging (and speaking), feeling, willing, wishing, and so on, share two major traits: (1) in Brentano's own words, they consist in "the possession of an immanent content" that is, they represent their objects in a mental way, even if representation is not conceived of as image (*idea*) in the classical Cartesian or Lockean sense, but rather as 'sign,' a sign that stands for the real things which in turn are their hidden causes; (2) they are directed towards some object. For Brentano, however, directedness is not an orientation towards the transcendent thing, but towards the immanent content or sign.[8] In his *Psychological Studies on Elementary Logic*, published in 1894, Husserl still endorses this characterization for perception, but he rejects it for the case of language. He uses as example a figure that at first is seen as something aesthetically agreeable, as an arabesque, and then is recognized to be a linguistic sign, in order to show that the difference between the two kinds of acts does not and cannot lie in the corresponding contents, which are clearly the same, but must lie in something the act itself performs (Hua XXII, 115).[9] De Boer comments on this passage as follows: "here we encounter the *birth of the*

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[8]Franz Brentano, *Psychologie vom empirischen Standpunkt* (Hamburg: Felix Meiner, 1973), vol. I, p. 124f. Cf. Theodore De Boer, *The Development of Husserl's Thought* (The Hague: Martinus Nijhoff, 1978), pp. 40–46.

[9]Cf. Edmund Husserl, *Gesammelte Werke – Husserliana* (Dordrecht: Springer, 1950–2008), quoted in the usual manner by volume and page number, followed, when available, by the page number of the English translation in square brackets. The following translations were used:

Hua III/1: *Collected Works. Volume II. Ideas Pertaining to a Pure Phenomenology and to a Phenomenological Philosophy. First Book: General Introduction to a Pure Phenomenology.* Trans. by Fred Kersten (The Hague/Boston/Lancaster: Martinus Nijhoff, 1983);

concept of 'constitution' understood as 'sense-giving'."[10] In the *Logical Investigations*, this feature becomes the distinctive note of intentionality at large. Husserl calls it sense-bestowal (*Sinngebung*), but also apperception, apprehension (*Auffassung*) or interpretation (*Deutung*) of a content. Thus perception is a sense-giving act upon the material of sensations, and signification is a sense (meaning)-giving act upon signs (cf. Hua XIX/1, 399–400 [105]). Although Husserl already speaks of adumbrations at this stage, in the *Logical Investigations* he chiefly sees perception in its cognitive function as fulfillment of empty signitive intentions, a function where, as Husserl remarks, it makes no material contribution to the linguistic meaning. The structure of perception shows features pertaining to the sensuous given, to supplementary imagination, and also to 'signitive' elements. Perception is interpretation, and interpretation is modeled on linguistic meaning-giving.

On the other hand, although the noetic-noematic correlation is at least tacitly presupposed in certain analyses of the Sixth *Logical Investigation*, as De Boer has well shown, the first mention of the 'cogitatum qua cogitatum' occurs in a manuscript dated June 16th 1904,[11] and its systematic elaboration is carried out only after the phenomenological reduction has been introduced, that is, once the appropriate attitude is reached, where alone the transcendent side of consciousness may be legitimately investigated. In his lectures on *Introduction to Logic and Epistemology* (1906/1907), while he is engaged in describing external perception, Husserl distinguishes a *phansic* (later called noetic) from an *ontic* (later called noematic) side of the analysis (Hua XXIV, 411; cf. Hua III/2, 542ff.). And a year later he extends the correlation to judgment, and speaks consequently of phansic and ontic meaning (Hua XXVI, 30), whereas the latter is no more conceived of as universal species, but as the correlate of the meaning-giving act (Hua XXVI, 47f.). By the time of *Ideas* I, Husserl has eventually extended the correlation to all, both actual and potential, intentional accomplishments, and he can now outline a general description or a 'morphology of the noema', that is, a systematical description of those features essential to all cogitata *qua* cogitata. We may recall at this point the two

Hua V: *Collected Works. Volume I. Ideas Pertaining to a Pure Phenomenology and to a Phenomenological Philosophy. Third Book: Phenomenology and the Foundations of the Sciences.* Trans. by Ted E. Klein and William E. Pohl (The Hague/Boston/London: Martinus Nijhoff, 1980);

Hua X: *Collected Works. Volume IV. On the Phenomenology of the Consciousness of Internal Time (1893–1917).* Trans. by John Barnett Brough (Dordrecht/Boston/London: Kluwer Academic Publishers, 1991);

Hua XVII: *Formal and Transcendental Logic.* Trans. by Dorion Cairns (The Hague: Martinus Nijhoff, 1969);

Hua XIX/1: *Logical Investigations. Volume II.* Trans. by J. N. Findlay and edited by Dermot Moran with a preface by Michael Dummett (London and New York: Routledge, 2001);

EU: *Experience and Judgement. Investigations in a Genealogy of Logic.* Trans. by James S. Churchill and Karl Ameriks (London: Routledge and Kegan Paul, 1973).

[10]Cf. Th. De Boer, *The Development of Husserl's Thought*, p. 16. Emphasis in the original.

[11]Cf. Th. De Boer, *The Development of Husserl's Thought*, p.183 ff.; cf. Iso Kern, *Husserl und Kant* (Den Haag: Martinus Nijhoff, 1964), p. 180; Kern quotes the manuscript B II 1, 47a.

major structures that can be singled out within the correlate taken as a whole, i.e. within the 'full noema,' namely: the character of Being, which is the correlate of position or doxa, and the noematic sense-core, which is the correlate of the noetic moment of sense bestowal. The noematic sense-core in turn comprises: (1) the object, which is described by Husserl as the central point or empty X towards which all senses are directed, and (2) the object-in-the-how (*Gegenstand im Wie*), whereas two dimensions of the 'how' must be distinguished: on the one hand, the 'how' of its determinations or predicates, that is, the objective *noematic sense* (Hua III/1, 303 [314]) and, on the other hand, the how of its modes of givenness, that is, the way the noematic sense is *subjectively* presented (e.g. as perceptually, recollectively, conceptually, etc., given) (Hua III/1, 304 [316]).

Now the particular case of perception, which Husserl has taken as point of departure for his noematic analyses in *Ideas* I, offers two additional elements which need to be taken into account: (1) the sensuous fullness that makes up the 'sense in the mode belonging to its fullness' (*Sinn im Modus seiner Fülle*) (Hua III/1, 305 [316]), and (2) the fact that perception, in contrast to language, is an *originarily giving* act, through which an object presents itself 'in person.' In the course of perceptual experience, the flowing noematic adumbrations that appear as aspects of the senses are brought together into a central core that thereby becomes a stable substrate for these determinations. This integration of the discrete successive aspects into a single objectivity is largely due to *horizonal* intentionality, which was not still developed at the time of the *Logical Investigations*, as well as to a new interpretation of time-consciousness, whereby temporal determinations are no longer seen as apprehensions upon temporally 'neutral' contents, but are constituted within the flow by absolute consciousness. Perceptual sense, therefore, is neither a province nor an extension of linguistic meaning; rather it is constituted by perception itself and within its boundaries. This concept is already formulated in a text written in 1909, where Husserl advances the idea that perceptual sense is generated *within* perception (Hua XXVI, 179). Moreover, it is suggested by the possibility of disappointment or disagreement (*Enttäuschung*), since new fulfilling adumbrations may conflict with anticipations based on previous experience, and thus compel a correction of their sense. This may even end in the object's 'explosion,' and the consequent constitution of a new objectivity (Hua III/1, 320 [332]). And it seems to be further confirmed by the fact that linguistic meaning, the realm of Logos, is conceived of in Ideas I as a higher-level noematic layer, by means of which the lower-level layers, and at the bottom, perception, receive expression. The word expresses through linguistic signs those senses previously constituted by other, "mute" acts. This self-constitution of the perceptual object seems to match Gurwitsch's view of the object as the result of Gestalt-coherence among the adumbrating senses.

This tension becomes clearer if we compare the 'perceived as such,' or percept, with the 'meant as such,' or concept: while meaning is described in terms of the apprehension/content scheme, perception is described in terms of inherence of senses in an empty X. In the former case, apprehension works on an already constituted perceptual unity, the sign, whose sense *qua* "thing" is not itself taken up by the higher-level act of interpretation; hence meaning results from a sense-bestowal in a

strong sense. In the latter case, however, sense-giving is bound to the immanent connection among *both* noematic and hyletic component manifolds, i.e adumbrations. Husserl seems to be well aware of this conflict. Bearing in mind the fact that the words *Bedeutung* and *Sinn* are interchangeable in ordinary German, he points to their common origin in the sphere of language, thus stressing their *affinity*,[12] but at the same time he recalls the "extension" and "modification" they have to undergo in order to be applied to all intentional spheres. In this latter respect, the pair *Bedeutung*/*Sinn* may serve to highlight the *difference* between conceptual or linguistic *meaning* and the underlying *senses*, above all – but not solely – the perceptual noematic sense (Hua III/1, 285 [294]). In short, intentionality understood as *meaning*-bestowal is first discovered for language in 1894 and then extended to all intentional acts in the *Logical Investigations*, while intentionality understood as *sense*-bestowal, prior to meaning, is set out in the context of *Ideas I*. In this way the door is open for both Gurwitsch's and Føllesdal's interpretations of the noema. As to the question of ideality, this difficulty is also reflected in the fact that this word characterizes the *species* of meaning in the case of the *Investigations*, and the *correlative objectivity* in the case of *Ideas I*.

It seems to me, however, that the whole tension also has to do with two additional issues, which do not seem to have been always sufficiently attended to: (a) the *restrictions* imposed by the general framework within which Husserl explores intentionality in the time between *Logical Investigations* and *Ideas* or even later, that is, during the period when he was engaged with the type of intentional analysis he would later call 'static analysis'; (b) the fact that, if we focus on the *manner of givenness* of the noema itself, it is *not* given as a simple 'entity' but rather as a complex net of levels. As to the first issue, I would like to recall here some results of Welton's major investigation on the origins of meaning. He inquires into the methodological decisions that Husserl made during his static period in order to research meaning and perception, and he fundamentally stresses these ones: (a) a restriction to the analysis of scientific consciousness, which is manifest in the *Logical Investigations* and appears to be partially overcome by the time of *Ideas*; (b) a parallel narrowing of the study of language, which is focused on pure signification and, consequently, abstracted from its communicative function and hence from intersubjectivity; (c) a similar limitation on the side of perception by way of restricting its achievement mainly to egological constitution; further (d) the bracketing of the question of time-constitution, which runs until 1908 or 1909 parallel to the analyses of perceptual and linguistic acts.[13] Although it is implied in many particular analyses, Husserl believes that for the outline of static analyses the account of time can be left out "without endangering their rigor" (Hua III/1, 182 [194]).

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[12]This is one of the touchstones of Føllesdal's analytic interpretation; he quotes a passage from the Third Book of the *Ideas* where Husserl writes that "the noema in general is, however, nothing further but the universalization of the idea of signification to the total province of the acts" (Hua V, 89 [76]).

[13]D. Welton, *The Origins of Meaning*, see esp. Part I, Chapter 1, "Expression and Meaning." A summary of this can be found at p. 45.

The second question concerns the fact that, under phenomenological analysis, the noema presents itself *neither* as a simple, abstract 'entity,' whether conceptual or not, *nor* as the whole of the coherence among adumbrations. The main reason for this lies in the fact that the morphological differences between sense as unity and manners of givenness as multiplicities do not exhaust the structure of the full noema, as Husserl frequently points out. Even if we set aside the essential role played by *horizon*-intentionality, still other complexities arise in connection with the building up of sense. Since the correlate is not given 'at a stroke' but is the result of a multifarious synthetic *constitution*, its phenomenological analysis uncovers, instead of a simple "Being," a complicated structure of levels and strata within the levels.

But expanding the analysis in this direction might not only give a hint as to the solution (or perhaps dissolution) of the concept/percept dilemma, nor merely provide a clue for linking both horns in a non conflicting way. This apparently provincial discussion of perceptual and conceptual noemata conceals indeed a major problem, since perceptual direct experience is a way, and indeed the originary way, of grasping the senses of natural things and thus of *nature*, while conceptual indirect experience is a privileged way of grasping the senses of spiritual things and thus of *culture*, that is, they stand respectively for the constitution of the two main ontic regions of the life-world. Thus discussing the opposition percept/nature should also shed light on the discussion about the nature and scope of the distinction between natural and cultural objectivities. But let us now turn to the question of stratification.

3   Constitution and Strata. Level and Stratum

Within the phenomenological tradition, it is a platitude to say that constitution is not the sheer "having" of something like a compact, monolithic sense. Husserl himself has repeatedly stressed that sense-giving is a progressive construction (*Aufbau*) that takes place in a graded manner, namely in steps or, better, levels (*Stufen*). From a noematical point of view, this primarily means that an already given unity (a sense provided with its thesis in its manifold manners of givenness) may function as an element of a new multiplicity that yields a higher-level unity. In order to describe this progressive constitution of correlated noetic-noematical multiplicities and unities, Husserl frequently draws on the geological metaphor of "stratification." Geology employs 'layer' and 'stratum' for naming the natural arrangement of the underground rocks in layers or beds deposited along the ages of the Earth, whereas the process of settling, by which such stratified deposits are formed, is called sedimentation. The determination of the stratified order of sedimented materials makes also possible for the geologist to date the different layers of the substratum. Thus stratification means the ordered arrangement in levels (structure) and the process of its formation (genesis) altogether. And what is presented through such arrangement, i.e. the correlative "objectivity," can be thus called a "sedimented" sense. Both dimensions are conspicuous in Husserl's usage of

this metaphor.[14] In static phenomenology, 'stratum' (level, layer) describes objective constitution as a whole, whose moments are arranged in a hierarchical order of foundation. In genetic phenomenology, 'stratum' (level, layer) names orders of foundation in time, that is, orders of sense institution and sedimentation. The stratified structures disclosed by static analysis are indices of their genesis in temporal strata, and the latter culminate in those forms described by static analysis, so that both dimensions imply one another.

Now with regard to the kind of noetic processes involved in this multi-layered objective constitution, we must remember that constitution is always *synthesis*, that is, an activity as a result of which something new appears that was not present in the synthesized members. Formally speaking, it is a bringing into unity, and such unification of multiplicities is at the same time an identification of that unity through the diversity of its component parts. Synthesis brings a manifold of elements into a unity, into a whole, and this takes place as an organization of the parts *as parts* within that whole. This organization of parts within wholes is constitution. Again, wholes structured in this way can be parts of larger wholes, and this situation may be iterated. Such synthesizing activities are of course reflected on their noematic counterparts: noemata are structured in such a way that already constituted senses can enter into higher-level senses as parts of them; they can also be wholes made up of lower-level senses that are in themselves unities. In order to keep these two senses apart from one another we may appeal to the distinction Husserl draws in § 151 of the *Ideas*, where he states that the self-givenness of the physical thing in original experience takes place in "different levels (*Stufen*) and strata (*Schichten*)."[15] He explains in addition that "Every level, and every stratum in the level, is characterized by the fact that it constitutes an own peculiar unity which, on its side, is a necessary middle member for the full constitution of the physical thing" (Hua III/1, 352 [363]). *Level* thus refers to wide sense unities in the order of their foundation, while *stratum* refers to inner moments of sense within a level. In every stratum, the sense of an object is constituted as a moment of the total sense synthesized by the level as a whole. Finally, this depiction of the stratum/level metaphor might suggest that levels and strata are to be understood *vertically* as it were, but Husserl himself underlines that stratification is "multidimensional" (Hua XVI, 204). Strata do not simply lay one-over-the-other (*übereinander gelagert*), but they rather penetrate one-into-the-other (*durchdringen sich*) or impregnate one another (*durchtränken sich*)" (Hua XVI, 75).[16]

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[14]It is worth mentioning that Husserl uses this set of words (stratum, level, layer) also in different meanings. When he describes, e.g., the noematic sense in the Fourth Section of *Ideas* I, he speaks about a central point or empty X surrounded as it were by "layers" like the sense, the manners of givenness or the thetic character (cf. Hua III/1, 206 [218]).
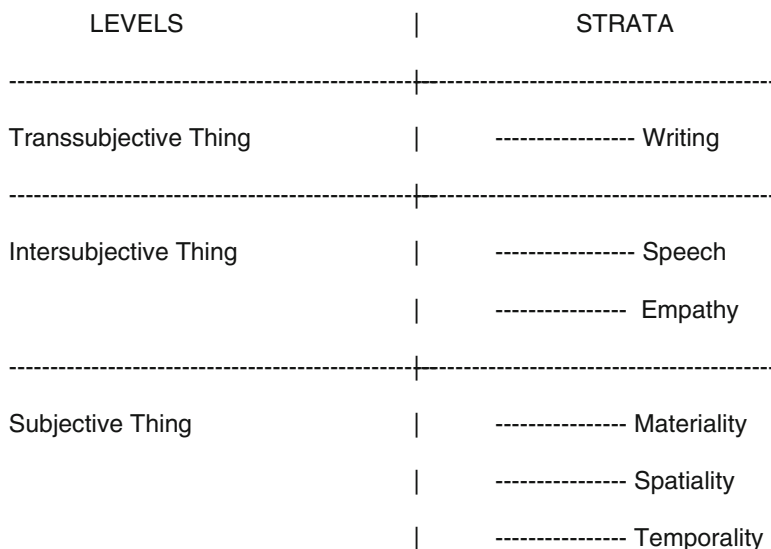
[15]Cf. also *Formale und transzendentale Logik*, Appendix IX, Hua XVII, 449: "Perceiving is the consciousness that gives the thing itself, but this self-givenness has levels and strata."

[16]We shall however mainly deal with a 'vertical' stratification. A strata system that crosses over this one is, for instance, that of encasement-in-one-another (*Ineinanderschachtelung*), present in reproductive modifications like rememberings within rememberings, or pictures within pictures, Hua III/1, 235 [246]. Guwitsch's view on the noema is in this respect richer and much more articulated than the analytic reading; cf. Roberto J. Walton, "On the Manifold Senses of Horizonedness. The Theories of E. Husserl and A. Gurwitsch", *Husserl Studies* 19 (2003): p. 15.

We might illustrate the point by means of a well-known example taken from the text of the *Ideas I*. Let us consider, from a static point of view, the constitution of an object from the region 'thing' like Husserl's famous apple-tree in Göttingen. I am sitting at my desk and out of the window in front of me I can see a blossoming apple-tree. The tree appears to me as an intentional unity that stands out from a background of other things. Upon reflection, its appearing is a *synthetic* whole resulting from a multiplicity of appearances. At the same time, this whole as *whole* has parts, not only in the sense that I see the apple-tree *as* having a trunk, branches, leaves, flowers, and so on, but also in the sense that these parts are themselves given in an array of noematic layers. At the very bottom of this multi-layered constitution three main strata can be disclosed: (1) an upper stratum of real, that is, material and causal properties, which relate the thing to other things; (2) a 'middle' stratum of spatial properties and relations, whereby the object has a shape and a place; and (3) a lower stratum of pure duration or temporal extension. Thus the apple-tree seen from the desk at the window is perceived as a real unity that stands in connection with other real unities, e.g., the singing birds on the branches, the whispering breeze, the nourishing soil underneath, the warming sunrays, etc. Abstraction from this upper stratum makes possible to lay bare the pure spatial tree-shape as located in a certain place and oriented in a certain manner away from my body; Husserl calls this pure appearance *phantom*, and its essence, *schema*. If we now completely abstract from this spatial layer, there still remains a lower stratum of the mere temporal stretching out of perception. These three strata make up together a unity – the apple-tree as this individual thing that appears to me – and we may call this unity a *level*. Husserl summarizes this description at the end of *Ideas* I, where he also labels the layers pertaining to this constitutive level respectively as *res materialis, res extensa* and *res temporalis* (Hua III/1, 347–348 [359]).[17] Now as far as this apple-tree is not only there for *me* but also for *others*, this entire level can be described as a lower level or, more properly, as a *subjective* level of thing-constitution. The (merely) subjective noematic unity is thereby a moment within a larger, higher-level unity, that of the *intersubjective* thing. Although this level has further complications, at least two fundamental strata can be recognized in it: on the one hand, communalization through empathy, on the other hand, symbolic communication through language. Empathic experience makes possible for the individual to go beyond his/her own primordial constitution by acquiring non-originary experience that was constituted by other subjectivities. This feature is in turn improved by means of language qua living speech (*Rede*), which furnishes senses, determinations, points of view, etc., that are originally alien to the Ego's primordial constitution. Such senses become parts of more complex wholes through higher-level syntheses that yield new senses, which are shared at least by the members of the corresponding language community. In short, at this second level the thing constitutes

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[17]This use of the word 'res' could be misleading. It is of course *not* meant in an *ontological sense*, like Descartes' usage of *res cogitans* and *res extensa*, but rather as a name for (non-independent) sense-unities that the abstracting analysis disclose in the unbuilding of constitutive layers. '*Res*' in this signification does not imply separate "existence," it terms a sense-*stratum*.

itself as intersubjective object. And the senses disclosed in the first, subjective, and the second, intersubjective constitution of something like an apple-tree can be eventually fixed on a new level by means of writing. Written marks lodge so to speak a *virtual* noematic unity, whose sense-core is a sheer potentiality that – in principle – can be reactivated by any subjectivity whatsoever, regardless of their situation in space and in time. This level may be called that of the transsubjective thing. A simple diagram may be useful for a quick overview:

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        LEVELS                      |              STRATA

-------------------------------------+---------------------------------------

Transsubjective Thing                |      ---------------- Writing

-------------------------------------+---------------------------------------

Intersubjective Thing                |      ---------------- Speech

                                     |      ---------------  Empathy

-------------------------------------+---------------------------------------

Subjective Thing                     |      ---------------- Materiality

                                     |      --------------- Spatiality

                                     |      --------------- Temporality
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At this point it is important to observe that the entire diagram concerns *only* the constitution of a 'thing' like an apple-tree as a *sheer* Being in Nature, that is, it considers only one abstract dimension of noematic constitution, and not the *full noema*. Indeed, natural things are intended to as "sheer" natural 'entities' only in scientific acts; in our everyday lifewordly experience natural things frequently have besides natural also *cultural* determinations. The latter concern not only perceptual and conceptual acts of cognition, as in scientific attitude, but also acts of willing, which are related to ends and means, and of valuing, which are related to values.[18] Nevertheless, for the next discussion on ideality we shall return to the constitution of a 'mere' natural thing qua 'thing.'

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[18]Cf. Lester Embree, *Análisis reflexivo. Una primera introducción a la investigación fenome-nológica/Reflective Analysis. A First Introduction into Phenomenological Investigation.* Edición bilingüe castellano-inglés (Morelia, México: Jitanjáfora Morelia Editorial, 2003). See esp. Chapter 4.

4   Noematic Stratification and Ideality

This brief and somehow superficial glimpse into noematic constitution as stratification of levels and strata finally calls into question the noema's *ideality*. In the First Book of the *Ideas*, Husserl associates the 'ideality' of the noema with two mutually related issues: *transcendence* and *temporality*. On the one hand, at the beginning of the Third Section, the noema is introduced as *transcendent* with respect to the *immanent* contents of consciousness, that is, as *not* immanent to the flow of hyletic and noetic *Erlebnisse*. Objects as intended unities "go beyond" this immanence in that they are not 'real' but 'irreal' components, insofar as they remain the same over against the passing intendings of them. This means, on the other hand, that what ultimately makes up its 'irreality' or 'ideality' is the 'distance' to the flow or, more precisely, to the inner time constituted within the flow; in other words, noemata have a (relative) independence from the time of *Erlebnisse*. If we continue within the framework set for our analysis, i.e. static analysis as method and the thing of nature as subject matter, the synthetic progression of constitutive levels founded one on the other seems to suggest that 'irrealities' should correspondingly be given in levels. If so, then every synthetic achievement on the noetic side should yield, on the noematic side, a correlative unity indexed with a specific "level" of ideality. Let us examine this a little closer.

The first important observation in this respect is that Husserl does *not* think the contrasting pair immanence/transcendence in an *absolute* way. In a text written in 1907 he states that "*immanent* can signify the antithesis of *trascendent*, and then the temporal thing, the sound, is immanent; but it can also signify what exists in the sense of the absolute consciousness, and then the sound is not immanent" (Hua X, 284 [294]). This statement is in line with the well-known results of the revision of his interpretation of temporality, after which a threefold articulation is disclosed in time-constitution, namely: (1) the appearing (*Erscheinen*), (2) the appearance as Erlebnis (*Erscheinung*) and (3) the appearing object (*Erscheinendes*) (Hua X, 358 [368]). At its very bottom, this relativeness of the pair immanence/transcendence means a stratification in the constitution of transcendence in its temporal dimension, which is also confirmed by later texts (cf. e.g. Hua XVII, 248 [241]). Thus every level of trancendence provides as it were an 'index' of its 'distance' to absolute immanence, and noemata can then be recognized by their stratified arrangement of temporally indexed levels. Such temporal levels *do not come as such* into the correlates, but serve as noetic "materials" for interpreting them *as* located in 'objective' time. So Husserl says in *Experience and Judgment* (henceforth EU) that "natural objects have their givenness-time and also their *natural time* as objective time" (EU 64, 307 [256]; emphasis in the original). Givenness-time concerns the flux of momentary adumbrations, and through the continuity of these mutually confirming aspects the objects appear "in" objective time, having their 'place' and their 'duration' there. But the same holds for cultural or irreal objects, they also have a givenness-time and an objective time, the difference being that in the case of Nature the real object is individuated in an objective point of time, and it bears

reference to other temporal horizon-intentions, while in the case of culture the irreal object is "so to speak, ... everywhere and nowhere," it does not bear any reference to such temporal horizonal implications (EU 311 [259]). Irreal objects appear "in" objective time insofar as they are necessarily founded upon real objects, like speech "in" spoken or written signs, or a picture "in" the paint strokes on the canvas, but this is a mediated location which in a proper sense is *not* inherent to them *as* ideal objects. Taken in themselves, irrealities are the same in the multiplicity of their occurrences, and their temporality can be better described as "omnitemporality" (EU 313 [261]). Therefore, they *cannot* be considered, as Føllesdal and his disciples do, as "abstract entities" which, like Frege's *Sinne*, are to be placed somewhere "beyond" time – beyond transcendence, as it were. When Husserl is discussing the ideality of language at the beginning of *Formal and Transcendental Logic*, he points out that, in contrast to the objectivities of nature, language is an object that belongs to the spiritual or cultural world (and we would add: not to a "third realm" of Platonic or quasi-Platonic entities) (Hua XVII, 24 [20]).

After this general outline of transcendence as distance from immanence, the reason why we are taken back to the problem of the ideality of the percept and the ideality of the concept should be clear. Both percept and concept plainly show differences with respect to their distance from immanence and thus with respect to their structural "location" within transcendence. But before we may continue, there is a terminological confusion that must be avoided, since 'ideal' and 'ideality' are terms used by Husserl, on the one hand, to characterize *every* correlate in contrast with the immanent flow, but, on the other hand, they have a more specific use whereby 'ideal' contrasts with 'real' *within* 'ideality' at large. In *Formal and Transcendental Logic*, on occasion of the discussion of psychologism in connection with evidence in §§ 57–58, Husserl points clearly out the difference between the *real* (*reales*) and the *non-real* (*irreales*) correlates, both again being *non-really immanent* (*nicht reell* or *irreell*) in opposition to the *real-immanent* (*reelles*) (Hua XVII, 163–164 [155–156]).[19]

There is actually a *double* graduality at work here: perception *and* conception are given in a graduality, first, because they are layers founded one upon the other, thus concept is 'more' transcendent and therefore 'more' ideal than percept; but, secondly, there is a graduality within perception and within conception as well, due to their inner articulation in strata. The thing as 'substance' in causal connection with other things is more 'ideal' than the mere phantom, which in turn is more 'ideal' than the passing flow of adumbrations. If we now turn to the next higher level, things as given in intersubjective experience are more transcendent and thus more 'ideal' than the thing of primordial encountering, since they incorporate a 'second-degree' transcendence supplied by the aspects and predicates of the thing

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[19]All correlates are *irreell* in contrast to acts and hyletic material which are *reell*; but what is *irreell* can, in turn, be either *real* or *irreal*. What is *irreell* is eo ipso *ideell*, now what is *irreal* is at the same time *ideal* in contrast to what is *real*. Like in the case of 'stratum' and 'layer,' Husserl is not always consistent in their use.

given through empathy and through living speech. The intersubjective thing is not merely iterative like the subjective thing. In the latter case, the experiencing of it can be perceptually or recollectively iterated, thus yielding a relative transcendence and 'ideality' over against the momentary adumbrations rooted in momentary original experience. The intersubjective thing, in contrast, becomes shareable in principle for a multiplicity of subjects, that is, it becomes 'objective,' "for us," and not merely 'subjective-relative,' "for me," although its objectivity and ideality is not yet that of the scientific idealization, but a lifewordly objectivation. (In this sense, scientific idealization would be a higher degree.) It rather concerns what Husserl calls empirical 'types' of objects resulting from sedimentation of retended past experience and protended possible continuation of experience after a certain 'style' of experiencing. Husserl observes in this respect that things have their "customs" ("*Gewohnheiten*") (Hua VI, 346). Nevertheless, the founded and stronger ideal character of the intersubjective thing is not due solely to the role played by customary empathy or the interplay between subjective givenness and empathic additional quasi-givenness. Language is above all the intentional achievement that yields idealities in the strict sense. The ideality of the perceptual thing concerns its 'empty X' as the central core at which the noetic sense-giving intention aims, that is, it is necessarily bound to the *presence* of the thing, be it actual or potential, as in memory or phantasy. Empathy is still bound to presence, even though in the way of a presentification and no more in the way of a direct presentation. This process shows at the same time an increase of determination and, thus, of 'objectivity,' and a parallel decrease of aliveness, of inmediate presence. Language qua speech is still strongly bound to presence, to concreteness, but: (a) it makes up another layer or level founded upon experience, and this in a double sense: (1) it refers back to experience, it 'expresses' experience, which in itself is 'mute'; (2) it is intended upon a previously constituted perceptual thing, namely the sign which is interpreted by the significative intention. (b) It is 'more' independent of the streams of consciousness ('communities') that speak because it can intend not only previously given things but also future things, and even merely 'possible' ones, e.g. things that were never experienced but whose X's can be emptily intended on the basis of certain determinations, provided that they do not contradict one another. Language transcends the giving 'in person' of things and so it is able to point to *absent* things, not only accidentally but also necessarily absent. In this way, living speech makes possible the transmission of "cultural information" from a generation to the next, thus generatively linking former and later historical communities. But language has the ability of also transcending the whole sphere of living existence, that is, in contrast to empathy, language can become *trans*generative, and this is possible when signification is put in a written form, that is, it is preserved by means of signs of signs, *Zeichenintentionen* of a second degree (*grâmma*) which are constituted upon signs of first or originary degree (*phonē*). As a set of written marks, language is devoid of any actual presence and thus of any concrete insertion in a particular lifeworld, but it is at the same time more richly determined in a certain sense. Its ideality is now expanded far beyond the boundaries of living speech, since it goes not only beyond the individual subjects but also beyond the living community of

empathy and communication through speech and, furthermore, beyond the living generative tradition: it is now in principle available for anyone, at anytime and in any place in the world at large (which, incidentally, is still the life-world, since, as we remarked in passing above, scientific idealization only begins here, that is, it can only be constituted on the presupposition of transsubjective written language, and the idealities that it yields). Signs are fixed by means of writing, and along with them are also fixed meanings and grammar rules, as one may observe by considering the evolution of a concrete language in time. And it is no accident that the Greeks, who created or discovered philosophy, also created grammar, i.e., the idea of fixing rules for speaking and writing.

Final Remarks

This research being work in progress, it has merely outlined a way of overcoming an already classical discussion about the nature of the noematic side of consciousness by pointing to a tension inherent to Husserl's development of intentionality and noema, and by undertaking a clarification of the noema in terms of stratifications. It has dealt with some important features, but it has also set important questions aside. Only to mention a few, the description of time constitution leads to genetic phenomenology, and stratification must too be studied in its genetic implications, and the same holds for the suggested gradation of ideality. The connection between perception and language must also be further investigated in the higher and more complex levels which constitute the invariants of the life-world, that is, in the stratifications pertaining to nature and culture, which are related in turn to the own Body in its twofold dimension of thing and organ of the Ego.

Focusing and Phenomenology*

Antonio Zirión Q.

> Dieses Leben ist als personales ein ständiges Werden in einer ständigen Intentionalität der Entwicklung. Das in diesem Leben Werdende ist die Person selbst. Ihr Sein ist immerfort Werden, und das gilt bei der Korrelation von einzelpersonalem und gemeinschaftsperson-alem Sein für beides, für den Menschen und die einheitlichen Menschheiten.
>
> (Husserl, 1976: 272)

> Human experience, we now understand, does not really consist of pieces or contents that have a static shape. As one senses the exact, finely complex shape at a given moment, it also changes in this very sensing.
>
> (Gendlin, 1981: 156)

Husserl founded and developed transcendental phenomenology as an eidetic discipline. It arose, first from its subject matter, but in a decisive way from the scientific and rationalistic (philosophical) goals assigned to it. As to the former, the basic concepts of a science of what is a perpetual flux have to be concepts of types, not fixed or exact concepts as those of the natural sciences, because only they can capture the "pronounced conformity to type" of the flux of consciousness.[1] But types can still be conceived as empirical. Only in a "purely *eidetic phenomenology*" can "the first actualization of a philosophical science – the actualization of a 'first philosophy'" (Husserl, 1977: § 34, 72) occur. We can say then that eidetic method

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*Paper presented at the First Korean-American Conference on Phenomenology: "Technology, Nature & Life: Contemporary Social and Cultural Problems in the Light of Phenomenology," held in Seoul, Korea, 25 and 26, October, 2002. The Conference was promoted and co-organized by Lester Embree. I thank Elisabeth Behnke for her friendly and helpful comments.

[1]In *The Paris Lectures* we read: "True enough, the life of consciousness is in flux, and every *cogito* is fluid, that is, devoid of fixed last elements and ultimate relations. But the flux is governed by a highly pronounced conformity to type" (Husserl, 1964: 20). In *Cartesian Meditations* we read: "in the flux of intentional synthesis…, *an essentially necessary conformity to type* prevails and *can be apprehended in strict concepts*" (Husserl, 1977: § 20, 49).

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or reduction becomes essential to phenomenology only by way of being essential to its scientificity or rationality. But it is not essentially a phenomenological method, since it can and has been used or applied outside phenomenology in many other areas of scientific research. All philosophy, it can be argued, is and has been made with an eidetic intention, non-deliberately for the most part, and often even without acknowledging this fact or objecting to the very possibility of a universal knowledge of *ideas*. In any case, what is in fact objectionable is the idea – sometimes entertained – that at the end of his research Husserl abandoned eidetic reduction or eidetic method. Such an abandonment would have amounted to a reversal of his ideal of scientificity. This does not mean that his ideal of scientificity and science did not undergo any changes, or that the eidetic method did not receive further phenomenological elaboration in his work.

Now, scientificity is a matter of interest, as Husserl knew and taught. And science is not the only interest, neither for an individual nor for a community. It is an eminent interest, and perhaps one that should not be abandoned, not only by phenomenology, but by human culture in general. Not a word of what I am going to say should be understood as directed against the ideal of scientificity, or the ideal of science, or even against eidetic reduction. Nonetheless, I would like to explore another ideal, another interest for a moment: the interest of the unscientific and individual self-knowledge.

Some tension between the interest of the individual self-knowledge (and I will not speak here about the other interests of the individuals, too many and too multiple to be listed) and the universal interest of science lies at the very heart of phenomenology, or of a certain way of looking at its origins. As presented by Husserl, this science was destined to give a new sort of satisfaction to the Greek ideal, "Know thyself!"[2] Self-knowledge has a significant role in the "Cartesian" characterization of phenomenology in the Paris Lectures and the *Cartesian Meditations*. There the incipient philosopher makes a double return to himself: first to assume philosophy as his "supremely" or "quite" "personal affair"; then to "the ego as subject of his pure *cogitationes*."[3] The philosopher who begins is trapped in the paradox between this need to regress to himself and found philosophy upon his self-examination, on the one hand, and the universal character of this very mission, on the other. And let's not forget the eloquent and perhaps moving finale of the "Epilogue to my Ideas": *tua res agitur* (Husserl, 1981: 52). Phenomenology is my business, it is true, but when I enter into this my business I discover that my real life, my true life, my individual life, is good only as an example.

If for a moment we give us the chance to play with the idea of a phenomenology made for the business and in the interest of the individual self-knowledge, I have little doubt that one of the better candidates for this job of a phenomenological art of self-examination, would be something very similar to the discipline of *focusing*, as developed by Eugene T. Gendlin.

I will try to explain here why, or how. In this way, while giving a salutation from the field of Husserlian phenomenology to a "phenomenology" that is already a little

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[2]See again Husserl (1977: 157).

[3]This is of course the characterization of *Descartes'* procedure; but Husserl subscribes to both "regresses." See Husserl (1964: 3–4, then 5 and 7; 1977: 2–3, then 7 and 18).

far from it, perhaps this paper can work to foster the discussion about their many possible relationships and interactions. In particular, I think that the way in which focusing could be made to serve for the teaching of phenomenology deserves to be explored.[4] But I will only give a hint about this at the end.

Focusing is the distilled and, to a certain point, standardized result of empirical research work conducted by Gendlin on what makes practice of psychotherapy according to various methods or schools successful. Itself developed as a psycho-therapeutic technique – and as such one of the so-called client-centered or experi-ential therapies – or as a "tool" to aid other techniques, focusing has also been devised as a "skill" that can be taught and used by any person also outside any idea of therapy or psychopathological "problems," and also not only for those considered as personal problems, but in many other situations and concerns.[5] Of a particular interest is the fact that, when focusing is performed with another person (a "partner," not necessar-ily in a therapist–client relationship), its effectiveness increases.

Focusing technique, and its growing applications in many fields, are becoming institutionalized, therefore a social and cultural fact contributing, in a still very limited way, of course, to model our knowledge of ourselves and the way we under-stand and treat others in society. Already as such – if not in the respect on which I put the emphasis here – it would deserve the attention of phenomenology. As a matter of course, focusing is based in or is a part of a theory (philosophical, phe-nomenological, psychological, etc.) that has evolved mainly as a theory of lan-guage, accepting the name of the philosophy of the implicit, and has not rejected the idea of being a post-post-modern trend of thinking, a trend "beyond post-modernism." Although this theory or philosophy is worth a careful attention and examination, and many valuable insights from it could be assimilated by phenom-enological research (and also vice versa, as I don't need to mention), I will only deal with it here to the extent that it serves to help us understand the practice of focusing.[6]

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[4]In fact, the "development of the notion of a bodily 'felt sense' in *Focusing* [the practical book on the discipline (Gendlin, 1981)] and other works" has already been considered "a classic example of an outstanding contribution by a phenomenologist to practical somatic education" (Behnke, 1997: 665). Other ways of possible interaction between focusing, or the theory behind focusing, and phenomenology have been pointed out in Behnke (2001: esp. 97 and 112).

[5]"Focusing is being studied in relation to concerns as far apart as spirituality, business, problem-solving, creative writing, and dreams."Focusing applies to more than personal problems. Creativity, originality, and depth require something like focusing in any field: the capacity to attend to what is not yet verbal-ized. This might be about something intellectual, practical, or anything else" (Gendlin, 1981: 167).

[6]Perhaps the best introduction to focusing and the philosophy of Eugene Gendlin is thru The Focusing Institute web-page, at http://www.focusing.org/. They publish here in electronic format some important texts by Gendlin, and include a Bibliography of his primary works by Frans Depestele. This is also found (a bit updated) at the Specialized Bibliographies section of the Center for Advanced Research in Phenomenology web-site: http://www.phenomenologycenter.org/gendlin.htm (May 15, 2008). Some of the main Gendlinian thesis included in his theory seem, looked from a phenomenological point of view, very debatable, at least *prima facie*. I will not assume here any compromise, either with these thesis or with its possible revision by phenomenology. A lot of study, discussion and analysis has to be done before we are in a position to pass judgment here.

The central notion in focusing is that of felt sense. Both notions, focusing and felt sense, are better explicated together. Focusing is a process – says Gendlin in *Focusing*, the book – "in which you make contact with a special kind of internal bodily awareness. I call this awareness a *felt sense*.… A felt sense is the body's sense of a particular problem or situation" (Gendlin, 1981: 10). Focusing brings this felt sense or bodily awareness into focus – the focus, we cannot avoid saying this, of awareness also. The word "focusing," it seems, is used here more in the sense of an adjustment of the lens or vision to be able to see something clearly than in the sense of a specific kind of concentration. But perhaps there is no point in making this distinction.

Now focusing is needed because "[a] felt sense is usually not just there, it must form. You have to know how to let it form by attending inside your body." (Gendlin, 1981: 10). The process is described in this book as a series of six steps or movements. And even if this division or breaking of the focusing process in six steps or movements is done for pedagogical reasons, as "an effective way to teach focusing to people who have never tried it before" (Gendlin, 1981: 43), and therefore is not strictly essential to the process,[7] I think it is still convenient to summarize here those steps or movements in order to give the reader a better notion of what focusing is all about.[8] Of course, a lot of secondary or subsidiary instructions and hints will be omitted in this brief review.

The first step is called "Clearing a Space" and it consists in listing all the problems or bad feelings you might have at the time, and putting them, so to say, in front of you, at a distance from you, until you know that, were it not for them, you would be fine. Here what seems to be more important than the integrity or accuracy of the list is the attitude of putting some "distance" between oneself and one's problems or situations, so that in the subsequent step their felt sense can be brought to live presence. The second step is called "Felt Sense of the Problem," and it starts when you select one of those problems (this is the general description; later the reader can see that it is perfectly possible to do focusing directly in or with some one problem or situation without going through this general or all inclusive listing and detaching) to focus on (perhaps the worst of them, the most troublesome in that moment), and without getting "inside" it, try to find its felt sense, that is, try to "feel the problem *whole*, the sense of *all that*" (Gendlin, 1981: 53). Concerning this problem or the way the problem makes you feel. Here it is of the utmost importance to put aside all previous or concomitant ideas, intellectualizations, analyses, explanations,

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[7]Other focusing teachers seem to have dropped the division in steps. See for instance Ann Weiser Cornell's *The Power of Focusing*, *passim*.

[8]I follow here, in my words, Gendlin exposition in *Focusing*. There are other easily available descriptions or characterizations of focusing by authorized resources. See for instance the presentation of focusing in The Focusing Institute web-site at URL: http://www.focusing.org/; and the presentation in the "Focusing resources" web-site at URL: http://www.focusingresources.com/. In both sites can be found much more information and bibliography on the process of focusing, its applications in several fields, institutionalization, promotion, etc.

or even "theories" that one might have about oneself or one's own problems, to be able to get in touch with a felt sense, that is, to allow the felt sense of that singular problem to form: here you are trying to make contact with it just as it is for you, as it is felt by you, not as your "mind" tells you. This step of finding or getting the felt sense of some problem or situation is no doubt the essential step of the whole process. Usually, this felt sense will be detected at first in an "unclear and fuzzy" way, and by attending to it and by, so to say, *being with it,* we are trying to bring it into focus. In the third step, "Finding a Handle," you try to find a word or a phrase or another symbol to designate, represent or define, or "mean," the quality, or the crux of the quality, of that felt sense. 'When a word is right, we call it a 'handle,' and it is the felt sense who tells if the word is right, or better, the word may come from it, it may "label itself" (Gendlin, 1981: 56). The fourth step is no more than a checking of this symbolic handle against the felt sense: it is called "Resonating Handle and Felt Sense." It is a procedure of matching until the perfect match occurs. The fifth movement (not necessary if by then a shift, or "felt shift," has already occurred) is called "Asking": In it, "you ask the felt sense, directly, what it is" (Gendlin, 1981: 58). The idea is to get a shift by a direct experiencing or making contact with the felt sense (with the help of the handle). It is asserted that if the felt sense has been approached "in the right way" (Gendlin, 1981: 32), it shifts: in what is called a "felt shift," it "opens up" or "reveals" itself. This change, which is induced, so to speak, by itself during the process, without any coercion, before or during the step of Asking, is explicated as "a physical change in the body" (Gendlin, 1981: 11). It is the felt sense that shifts (and with it also the symbols that mean it for us), and this shift (or a process of shifts) is the goal of the process and the way through which focusing can bring change to life – a change which is always positive, which always feels like fresh air. But even if this is the goal of the focusing process, a shift does not have to take place to do focusing. The important or essential thing is to spend time with the felt sense. The sixth movement is the culmination of the process. It is called "Receiving," that is, receiving the answer given by the felt sense to the asking, adopting with the answer a welcoming attitude, and giving it time to sense it and be with it.

The *bodily* character of the felt sense, together with the fact that the reflecting peculiar to focusing is characterized as an attending *to the body*, are prone to a broad discussion, a discussion that could stand in the way of our intended understanding of focusing as a practical phenomenology. However, I will not enter into it, since the question is, I submit, not decisive for any of the points I want to make in this paper. It seems possible to proceed here as Gendlin himself proceeded in his book *Experiencing and the Creation of Meaning,* where he considered the doctrine of the "bodily awareness" as an "assumption" that "from a philosophic point of view" (Gendlin, 1997a: 27) he did not need to make.

It can be thought, certainly, that a decision regarding the corporality of consciousness (the reflecting or the reflected, or both) is inescapable for our attempted analogizing. But Gendlin's own position (at least in 1981 and 1997a) can be interpreted in such a way that the bodily character of a felt sense or of experiencing recedes in the undecided or admits within it all features that might

be needed for the analogy that I try to make with the phenomenological (Husserlian) reflection. Just to substantiate these assertions, I refer briefly to some pertinent places.

At first, Gendlin is emphatic, even bold: "A felt sense is not a mental experience but a physical one. *Physical*. A bodily awareness of a situation or person or event" (Gendlin, 1981: 32).[9] In the same work, however, Gendlin remarks that he uses the word "body" to "mean much more than the physical machine" (Gendlin, 1981: 77). It is the body that senses physically, but also in *thinking*, the circumstances around it: "This sense of being bodily alive in a vast system is the body as it is felt from inside" (Gendlin, 1981: 77). In the "Philosophical Note" in (Gendlin, 1981: 165), he synthesizes: "In focusing one pays attention to a 'felt sense.' This is felt in the body, yet it has meanings. It has all the meanings one is already living with because one lives in situations with one's body. A felt sense is body *and* mind before they are split apart."

In a text where he tries to defend the primacy of the body against Merleau-Ponty's "primacy of perception," Gendlin asserts that Merleau-Ponty's "rescued the body from being considered merely as a *sensed* thing among other sens*ed* things (as it still is in physiology)," and conceived it, "sensing from inside," as "an internal-external orienting center of perception, not just perceiv*ed*, but perceiv-*ing*"; but now he, Gendlin, is moving "a step further," noticing that the body "is not just an orienting center *of perceiving*, nor only a center *of motions*, but also of *acting and speaking in situations.*" (Gendlin, 1992: 349). We can even detect a sort of proto-transcendental stance in some of his statements: "But we are not the presented; we are the to-whom of the presented. The to-whom that is inherent in anything presented cannot be a presented datum. So we humans cannot find ourselves within the scientific picture, since it consists of presenteds" (Gendlin, 1992: 344).

So it seems possible to move, following the same path, a little bit further and endow the "body" (or "us") with a full-fledged Husserlian consciousness (only perhaps not yet transcendental). I am not sure if the question becomes then a question of names, but in any case we would have what we need to start our comparison. We also have to consider that our question right now with this comparison is not a question of a transcendental constitution, the question of evaluating focusing, or the philosophy behind focusing, regarding its capacity to deal with transcendental constitution questions. Our question is a question of applying phenomenology, which

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[9]Other presentations of focusing make similar points, acknowledging the bodilyness, if this can be said, of the focusing process and felt sense. In The Focusing Institute web-site we read: "Focusing consists of specific steps for getting a body sense of how you are in a particular life situation. It begins with the body and occurs in the zone between the conscious and the unconscious." The definition in the "Focusing resources" web-site starts: "Focusing is a body-centered process…" And says also: "Focusing teaches how to access, and use to best advantage, a remarkable treasure-trove of inner bodily wisdom known as our 'felt senses.'"

is a question concerning a praxis that (as the focusing practice as such) develops in the natural attitude and with an interest that does not need to imply an interest in, or a consideration of, the transcendental.[10]

To enter now into the terms of the comparison itself, it is important to note that, under the different and apparently opposite characterizations that Gendlin gives of what a felt sense is, this notion, as is operative in his expositions, is materially equivalent to the notion of an intentional *Erlebnis* in the sense of Husserl. In Gendlin texts, "experiencing," "felt sense," "felt meaning," "experienced meaning," "felt meaningfulness," and even "feeling," "bodily awareness," "bodily sense" or "body sense," are all terms that roughly stand for the same thing. And this is also what he has in mind when he recognizes: "Husserl may be said to be the first to base philosophy, quite explicitly and deliberately, on an examination of experiencing as we actually live, have, and are, rather than regarding 'experience' as already imposed by the requirements of one view of science" (Gendlin, 1973: I: 286-287).[11]

In this regard, there is a problem that besets the idea that the felt sense on which one is to focus *must be formed*. But with this, Gendlin does not mean that it is really something created *ex nihilo* or, so to speak, for the first time, originally, by the focusing process. That the felt senses pre-exist in us in a certain way is in agreement with the way the notion is approached all along in *Focusing*, and in other works, mainly in *Experiencing and the Creation of Meaning*. Here Gendlin tries to demonstrate, precisely, that "felt meaning functions as the experienced side of all thought, observation, action, and the like." (Gendlin, 1997a: 71). And "the like," we may add, is just every kind of *Erlebnis*. That a felt sense must be formed means that it is a part of a process, the experiencing process which is alive in us all the time, and it means that it should acquire through focusing a more clear and distinct form.

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[10]But perhaps the question is not as simple as that. A complete view has to consider the whole position and the possible answers from the theory of focusing or the philosophy of the implicit. Gendlin deals with the issue of the body and its distinction or relation with awareness or consciousness in a more sophisticated, and also more problematic, way. He has even developed – in Gendlin (1998) – a model of thinking and knowledge that can be considered to include a sort of constitutional process. Husserlian phenomenology will be of course obliged to deal with this issue at length if really an assimilation or approaching with focusing (or the philosophy of the implicit) can be effected. Also, the presuppositions assumed naturally in the level of constitution in which we decide to move, can and eventually should be considered from a transcendental constitutive point of view. It can then be pondered if there is really a problem in trying to teach or practice a discipline (phenomenology) that presents itself as transcendental, with the help of a practice that rejects transcendentality and moves in a level of constitution where we have already bodies, and humans, and the whole nature. Right now we are confident that certain "virtues" or "advantages" of this practice will allow us to surmount, or to ignore, practically, this difficulty, which is a theoretical one.

[11]In his article on Gendlin's theory of meaning, Mohanty uses also *Erlebnis* for the "experiencing," and identify it with Husserl's "intentional acts" (Mohanty, 1997: 176–177). In his reply, Gendlin comments only on the use of "act" for his "experiential concept", remarking the "old scheme" that the word brings (Gendlin, 1997c: 189). I am not going to deal here with Gendlin's opinions and his finally tepid appreciation of Husserl's work.

Accordingly, Gendlin insists that at first a felt sense is usually *unclear*, *fuzzy* (Gendlin, 1981: 10, 32, 69). However, I am not sure if this lack of clarity or fuzziness should be considered as a property of felt senses as such. It seems to me that it comes rather from and with the attempt to be aware of them and the kind of awareness or attention we try to put on them. Gendlin's expositions allow to say that we are experiencing felt senses all the time, before and outside any focusing and any reflecting, contantly throughout our life. But it is clear that we are not constantly aware of unclarities. Hundreds of fleeting and elusive feelings, beginnings of ideas, flickering memories, hunches, uncertain fears, tenuous shivers, etcetera, are happening in us more or less all the time. Certainly. But it is also true that usually we don't care. We live with our clarities or unclarities more or less comfortably. To discover the lack of clarity, we need some reflection, and this needs in turn some interest, perhaps motivated by a great discomfort. In this reflection or attention, perhaps a non-deliberate, non-technical, non-artificial kind of focusing takes place.[12] The interest of liberating us from the discomfort guides the process in this case. We "focus" on our problematic feeling or on the "felt sense" of the problem. Felt senses of problems (and even more if they are personal, "private" problems) are understandably not very clear. That's part of their being problems. But not all are problems. So the unclarity and fuzziness of felt senses are relative features, like the incomprehensibility of time for Augustine. It is the attempt to focus which "uncovers" them.

Thus, it is important to notice that a focusing process can be started upon any other felt sense, even upon rather clear *Erlebnisse*, and without the interest of solving or overcoming a problem. I think it, or variants of it, can be done "just for fun," with a sportive spirit, out of mere curiosity. Or it can also be done out of a theoretical interest. This is the possibility I want to stress.

Two other "features" of felt senses or of experiencing call our attention. They are not unrelated to its unclarity or vagueness, and perhaps they are two sides of the same coin. I am referring to what Gendlin calls the "holistic sense" – "your sense of the whole thing, including what you know, have thought, have learned" (Gendlin, 1981: 160) – and to what he terms the "intricacy": "Notice that a [felt sense] is implicitly intricate in a way that is more than what is already formed or distinguished" (Gendlin, 1992: 347).[13]

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[12]The same thing occurs already precisely in those successful psychotherapy sessions studied by Gendlin and out of which the technique was developed or codified ("We found focusing by studying patients who already did it. We didn't invent it." (Gendlin, 1981: 156)) – although in this case in a not so natural environment, and perhaps somehow induced by the therapeutic method used therein.

[13]Gendlin does not use here the term "felt sense," but it will be explained in a moment. The context of the quoted passage authorizes the substitution: "So there is no common word for this utterly familiar bodily sense of the intricacy of our situations, along with the rapid weighing of more alternatives than we can think separately. In therapy, we now call it a 'felt sense.' That phrase can *say* the … – but only if it brings the … along with it" (Gendlin, 1992: 346–347).

Even if the felt sense is "about" something particular (person, situation, event, something…),[14] it carries with it, or points to, or "is," some "internal aura that encompasses everything you feel and know about the given subject at a given time" (Gendlin, 1981: 32). Gendlin wants to oppose, rightly, the idea that a felt sense, say, of a well known person just entering the room, the sense of "all about" this person that is immediately "felt," is "made up of discrete bits of data that you consciously add together in your mind" – height, hair color, eye color, tone of voice, every personal trait, and every detail of your relationship with this person – and come to you as "thoughts." Instead, he proposes that what we have in the situation described is an "inner aura" of this person. This is good enough for me, phenomenologically speaking, as a first approach to what is supposed to be described here. But it would not be an accurate description to think then that this aura really includes "every one of those thousands of bits of data that you have seen, felt, lived, and stored over the years," or that this "staggering" "amount of information," "somehow" "comes to you at once," as Gendlin says (1981: 33–34). It seems to me that those data are not there at all, if to be there is to be really and actually felt, sensed, given, intuited, represented, or experienced in any form. The inner aura, or felt sense, which is indeed there does not truly contain them. Certainly, they are "somehow" available (and available *from* the "aura") – but this "somehow" and "from" point to a phenomenological task – and a task, I would say, already greatly advanced by Husserl in his work on associations and horizons – not to a fact in the fabric of the "biological computer" of the body, as Gendlin has it (1981: 34).[15]

Although felt senses may be "particular", they are also "intricate" because they are immersed in a situational or interactional experiencing which is present at all times, as a "concrete, living, sentient, felt ongoing process" (Gendlin, 1980: 167). This process or "mass" of "concrete feeling" or "inward sensing" is "broader" than every "this or that specific idea, wish, emotion, perception, word, or thought"

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[14]At least according to the notion that is handled all along the exposition of the practice of focusing. To this category belong also most of the illustrations he makes in his texts on language. "A felt sense is the body's sense of a particular problem or situation" (Gendlin, 1981: 10). "A felt sense is the body's physical sense of a problem, or of some concern or situation" (Gendlin, 1981: 69). His favorite example of the situation where we loose track, in a distraction, of what we were going to say, is an illustration of a particular felt sense, or rather, a felt sense of something particular. What "I was going to say" is something very determinate, very precise, not exactly a manifestation of the whole situation.

[15]I think the task of description needed here has not been made even by the "new concept" of "unseparated multiplicity" with which Gendlin tries to overcome the "quantitative scheme" while trying to explicate "*this way in which*" "all about the person" may be said to be "many," for instance in Gendlin (1997b: 23). There is really a quality, or the sense of a quality (an aura, a flavor, a color), but not a multiplicity, not a "many." To call it "unseparated" is a game with words, and it is also a quantitative concept. Unseparated unities are still unities. But the "color" or the "aura" has not unities, but intentional, horizonal, references or indications ("many," yes) back to past moments, to our past relation, etc. The indications can be awaken, but usually they are not awaken. So, when we remember who she was the person we just saw on the street, the "…" comes indeed, or opens," as Gendlin says. His "aura" comes. But our "whole history with the person" does not come or "return" within it.

(Gendlin, 1997a: 11) that we have. With our "definitions" and our "knowing," we only "specify aspects of it, 'parts' of it." (Gendlin, 1997a: 11). But no matter how some felt sense or (segment of) experiencing has been specified (symbolized), "[i]t can always be further differentiated and further aspects of it can be specified" (Gendlin, 1997a: 13). "We can synthesize endless numbers of meanings in it" (Gendlin, 1997a: 16).

So, the individuation of experiencings or felt senses lies in our symbolizations and cognitive processes. In a sense, this is a preconceptual, prelogical, prelinguistic order. There is meaning in it only as *implicit meaning*. "Without symbols the felt meaning is incomplete, not really a meaning, just an *orderly* relationship to symbols – *when* symbols occur" (Gendlin, 1997a: 27–28). In some texts, Gendlin uses the ellipsis as a synonym or substitute for the phrase "felt sense" or "body sense" to underline its *implicative* character:

> My "…" expresses the fact that your body-sense includes more than we can list, more than you can think by thinking one thing at a time. And it includes not only what is there. It also implies a next move to cope with the situation. But this implying of your next move is still a … Your actual move has not yet come. (Gendlin, 1992: 346)

Gendlin's position – and the stance I want to take towards it – can be better understood if we look at it from the side of his philosophy of meaning and language.[16] If we adopt the terminological convention of using "sense" (*Sinn*) for the meaning that is just felt and still not symbolized, and "meaning" (*Bedeutung*) for the already symbolized meanings, we would say, if I am interpreting him well, that meaning arises from the reunion of a sense (which is felt) and some symbol (not necessarily a word); that (felt) senses alone are not real meanings but only "beginnings," "aspirations," "sources" of meaning. "Experiencing is multiple, non-numerical. *An* experience is a symbolic creation" (Gendlin, 1997a: 152–153). But senses, experiencing, are not only "preconceptual," but they are still and always functioning during and after all symbolization, "*with and after language*" (Gendlin, 1997c: 186). Well, then, what is it that brings about the conversion of a sense into a meaning?: there is no other answer than the very operation of directly referring to it, of specifying it by this referring.

Now, this is precisely part of the labor in focusing: "the capacity to attend to what is not yet verbalized" (Gendlin, 1981: 167).[17] Even though the focusing process is not presented as a linguistic or symbolic process or exercise, it clearly involves one or can be paralleled to one. It is an enactment of the (direct) relation

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[16]Mohanty's review of it in (1997) is just an initial step. See also the anthology in which it was published: Levin, 1997.

[17]I give here the complete quote, to be faithful to Gendlin intentions: "Focusing applies to more than personal problems. Creativity, originality, and depth require something like focusing in any field: the capacity to attend to what is not yet verbalized."

between symbols and feelings (felt senses) that he calls "comprehension[18]": first, in "direct reference," a felt sense is had (discovered, "formed," accepted, caressed, cuddled, if you permit the language), and then it is expressed in new symbols or in a new way of putting symbols together. Talking about the patient, Gendlin writes:

> Only an accurate new symbolization of it feels to him as the expression of *his* experience. And it makes much difference to a person that his felt experience stands in such a direct relationship to objective symbols. For reasons of great importance to psychology, this new symbolic relationship (which one's feelings may or may not acquire) allows a process of change in these feelings to occur. (Gendlin, 1997a: 118)

This change is a new experiencing that "carries forward" the felt sense in new felt senses and then in new symbols. Focusing is itself part of the experiencing, but it allows the focuser to "think" and "speak" "from the intricacy of situations," and not from "conceptual logic, rules or distinctions," not from "patterns."[19] Some sense has been seen and has reached expression, but this very fact has meant a penetration of some of its implications, and thereby new roads for the endless experiencing process have been opened.

To reach and be able to express the sense of an experience, of an *Erlebnis* – is this not also the mission of phenomenology? Let's remember once more the *Cartesian Meditations*: "Its beginning [of the descriptive theory of consciousness that begins radically] is the pure – and, so to speak, still dumb – psychological experience, which now must be made to utter its own sense with no adulteration" (Husserl, 1977: 38–39). Merleau-Ponty said that here a difficult, almost impossible task is assigned to phenomenology: "between the silence of things and the word of philosophy."[20] But it is not the silence of the things devoid of sense which is really the beginning, but the pure, still dumb experience, which, even while still dumb, has a sense. (Husserl *dixit*.) Then it should not be such an impossible task to bring this sense to expression. But on the other hand, the "word of philosophy" is also not the first word. The passage continues immediately: "The truly first utterance, however, is the Cartesian utterance of the *ego cogito* – for example: 'I perceive – this house' or 'I remember – a certain commotion in the street'" (Husserl, 1977: 39). But these are our everyday utterances. There is indeed a difference between these utterances and the phenomenological ones concerning the same senses, but it already requires a moment of pause and reflection to discover and register those everyday utterances as the faithful utterances of their corresponding senses. This is the moment of focusing. Why do we need another, phenomenological, utterance of the

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[18]See Gendlin (1997a: 117–127).

[19]See Gendlin's "Preface to the paper edition" (Gendlin, 1997a). For an explanation of the concepts of "carrying forward" and "thinking from the intricacy," see also Gendlin (1980: 161–162; 1997b; 1991).

[20]In the Third Philosophical Colloquium of Royaumont, in 1957. I'm translating from the Spanish translation (Berger et al., 1968: 142).

same sense, and what exactly will this utterance add to the first and everyday one, or how will it be modified? I will not answer this question here. But the answer will not be far from the one that would have to be given also concerning the practice of focusing. Both are broadly non-natural exercises of a reflecting kind, and both want to reach beyond the ordinary level of awareness. And even the way in which the reflective process in focusing absorbs itself into the experiencing process has a parallel in the way phenomenological reflection is considered by Husserl as a possible modification of every *Erlebnis*.

> The proper task of reflection, however, is not to repeat the original process, but to consider it and explicate what can be found in it. Naturally the transition to this considering yields a new intentional process. (Husserl, 1977: § 15, 34)[21]

More than that, focusing can be seen as a sort of individual, concrete, intentional analysis – which, in my opinion, is the *true* phenomenological method. Its core is also, as the core of the focusing process, to bring something – some sense – implicit into the explicit. Its task is just to deal with and uncover the "horizonal intricacy," if we may say, of some lived experience (*Erlebnis*). If we re-read only two brief passages of its characterization in *Cartesian Meditations*, the similarities cannot escape us:

> Intentional analysis is guided by the fundamental cognition that, as a consciousness, every cogito is indeed (in the broadest sense) a meaning of its meant [*Meinung seines Gemeinten*], but that, at any moment, this something meant [*dieses Vermeinte*] is more – something meant with something more – than what is meant at that moment "explicitly." (Husserl, 1977: § 20, 46)

> As intentional *it* [intentional analysis] *reaches out beyond the isolated subjective processes* that are to be analyzed. By explicating their correlative horizons, it brings the highly diverse anonymous processes into the field comprising those that function "constitutively" in relation to the objective sense of the cogitatum in question – that is to say: not only the actual but also the *potential* subjective processes, which, as such, are "implicit" and "pre-delineated" in the sense-producing intentionality of the actual ones and which, when discovered, have the evident character of processes that explicate the implicit sense. (Husserl, 1977: § 20, 48)

These parallelisms, as well as many other of a general and particular kind, of different dimensions and spheres that may be found between focusing and phenomenology, should be carefully bring to light in a more detained study.[22] Some of them may have been obvious to the reader in passing. This task would be

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[21]Concerning the issue of reflection see again Mohanty (1997) and Gendlin (1997c).

[22]They would start already at the departure attitude of excluding all previous intellectualizations, until the discovery in the process of experiencing of an inner teleology to the clearer, better, higher…, and would comprise even the attitude of distancing (suspending a while our involvement?) proper of focusing, but also the attitude of accepting, of surrender to the felt sense, we would say, as it is given. With some degree of speculation, we could parallel even the ideas of Gendlin of the social and political significance of focusing, and the liberating impulse it could mean for people, with Husserl meditations about the crisis of occidental civilization and the need of an ethical and cultural renovation which could only be brought by phenomenology.

a necessary step to concretize the ideas proposed here. Of course, also the many differences and oppositions have to be taken into account, mainly concerning the differences in what Gendlin calls "assumptions" or "schemes" of a theoretical character between himself and Husserl's phenomenology, or Husserlian phenomenology in general.[23]

When that is done, then what? I mention only some possibilities:

1. The most obvious and simple one consists in employing focusing as a tool in phenomenological research, as it is used in any other field to encourage creativity. This does not requires any intentional or theoretical rapport between the two disciplines, but only learn to focus. But of course, if regular focusing exercise is performed with an eye to this rapport, so to say, then it would amount to a truly "individual phenomenology."

2. Considering the specific goals and scientific intentions of phenomenology, its specific ways of asking questions and seeking ways to solve them, a phenomenological focusing model can specifically be devised. It would take into account, for instance, the exigencies of universalization, the need to distinguish individual from essential traits, the revision or reiteration of already established phenomenological principles, the traditional phenomenological problems, and the lines of front-line research, etc.

3. If we are concerned with the development of phenomenology as a communitarian work, perhaps to carry forward the phenomenological workshops of Herbert Spiegelberg and other similar efforts,[24] then a variant of (2) can be

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[23]To come to terms, seriously, with the theory of focusing and Gendlin's theory of meaning and language and his philosophy of the implicit might be one of the first tasks here. It is not the same to assimilate, in principle, the Gendlinian experiencing flux with our "well known" Husserlian-Heraclitean flux, the *Erlebnisstrom* with all the features and structures that Husserl has analyzed, than to carry out concretely the comparison concerning each of the relevant points: horizons of all kinds, habitualities, sedimentations, inactualities, potentialities, activities, primary and secondary passivities, motivations, teleologies, etc. In Gendlin descriptions all this machinery has already made their job, or is doing it. But it has to be brought to light precisely in which level of constitution is he moving, as also, from the other side, it has to be seen concretely what is the real import of his critical remarks on Husserl or phenomenology. In sum, we have to correlate and "cross" Husserl's descriptions with Gendlin's assumptions or allusions, and also, *mutatis mutandis*, vice versa. A particularly important "crossing" would consider the ideas behind focusing theory about the origin or the "creation" of meaning along with what in Husserl would be a genetic phenomenology of language in which the role of language in the emergence of meaning should be clarified, as also ultimately all relations in all levels and spheres between what can be called "sense" and what can be called "meaning." I am thinking here, of course, in studies and interpretations such as the one carried out by Donn Welton in his book *The Origins of Meaning* (esp. Part III). See for instance what Welton says in (Welton, 1983: 282).

[24]About the workshops organized by Spiegelberg and the recent "Back to the Things Themselves Conference" organized in a similar spirit, see Steinbock (1997: 130–132).

devised, perhaps including Gendlin's idea of "crossing"[25] to be employed by pairs or by groups, in what would be a setting of focusing-work-partnerships.[26]

4. More interesting perhaps, a variant of the same model can be devised for the teaching of phenomenology, not to be used by professionals, but by students and even laypersons. In it, the accent would be put in some classical distinctions or inflections of the *corpus* of phenomenology, and also of course in the basic methodological insights as they are effectively lived. This approach could be followed in such a way that phenomenology could also use focusing as a tool to help her materialize and concretize her cultural and pedagogical aspirations, that is, broadly speaking, to have an effect in society, in education, in a better understanding among human beings, and in devising effective strategies of conflict resolution.

5. Most interesting, at least from a theoretical point of view, would be the impulse that these developments, and the feedback received from them, could give to the development of what I want to call a *concrete phenomenology*. I want to end this paper with a brief sketch of the idea of this phenomenology.

In truth, this name is tricky, because it would not be really concrete. Concrete, truly, would be rather the "individual phenomenology" mentioned in (1), only that this would not really be a phenomenology, but a focusing exercise – with a phenomenological "eye."

The name "concrete phenomenology" is intended only to bring to mind the fact of facticity, that is, the fact that all our abstract concerns in the end are of concern only to concrete beings living a concrete life in concrete situations. *Nostra res agitur.* Perhaps something of interest, phenomenologically, can be said of the way all abstract trends of phenomenological studies come to be found, all together, in a concrete life. That is, we are not only bodies, we are not only language, we are not only hyletic data, we are not only bunches of horizons, we are not only perception, we are not only action, we are not only familiar or foreigners, normals or abnormals, we are not only ….. . This is of course a complication of John Drummond's idea of complicating emotions.[27] Since we are not only complicated emotions…. In fact, concretely, everything is complicated. We cannot approach this complication without the abstract divides we take, and all of them should be developed *first*. So for this idea of a concrete phenomenology is still too early. But if we start to ponder it, as an unclear and fuzzy …. , perhaps some day we'll be able to bring it into a good phenomenological focus.

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[25]"Once the individual's sense of something has become articulated and differentiated enough, then what happens is something we call 'crossing.' Other people's insights enrich ours by becoming implicit in our own terms. If one has and keeps one's own terms, one can cross them with others. Keeping one's own terms means keeping their intricate precision. Crossing enriches their implicit intricacy and power. At that point collaborative interaction can create a new social product right here in the room. This is of course the intent of the current emphasis on 'dialogue' and 'joint action,' but we need not lose the individuals if we first articulate the individual sense" (Gendlin, 2001).

[26]About the Focusing Partnerships, see the section on them in The Focusing Institute web-site, at: http://www.focusing.org/partnership/partner_info/partnership_index.htm (May 15, 2008).

[27]Drummond's idea is in Drummond (2002). Of course, he has concretized his idea to a certain point. My idea is a mere conjectural *desideratum*.

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Quo Vadis, Phenomenology?

TANI Toru

Can we live in this world, where historical occurrence is nothing but an unending concatenation of illusory progress and bitter disappointment? (*Crisis* p. 7; *Hua VI*, S.4f.)

1 Introduction

Since phenomenology was established by Husserl more than 100 years ago, it has spread from its birthplace to all corners the world and taken root as a method of "reflective analysis" upon our concrete experience. It has come even to the "Far East" – to the place farthest away from Europe where phenomenology was born.

How did phenomenology come to my "home-world," which I call (objectively and empirically) "Japan"? At the end of the Edo era (1600–1867), when Japan opened its doors after two centuries of isolation, what impressed Japan most about the West was its technology, especially in the form of the warships that forced Japan to reopen. Japan encountered "science" as the basis of that technology and learned that it had developed in the West as an aspect of "universal knowledge."

Before this period, China was the main outside influence on Japan. There is an old term, "Japanese soul and Chinese technology," which means that Japan should aggressively adopt foreign technology but maintain its own soul. After the Meiji Restoration (1868~), this was rephrased as "Japanese soul and Western technology" in deference to the strength of the West. Japan hastened to absorb the newly encountered technology while stressing the need to defend its old soul, but naturally even this soul underwent a change, especially when scholars began to study Western philosophy.

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The Japanese language originally had no word for "philosophy."[1] NISHI Amane (1829–1897) coined a neologism out of Chinese characters: 哲学*tetsugaku* (initially 希哲学*kitetsugaku*). Other important terms such as "subject" (主観*shukan*), "object" (客観*kyakkan*), "society" (社会*shakai*), "right" (権利*kenri*) and "freedom" (自由*jiyu*) were also "translated" in a similar way. 科学(*kagaku*) is another neologism, created to indicate the modern Western sciences.

Importing new concepts was not easy. The matters under scrutiny were totally "foreign" and "incomprehensible" and did not correspond to any traditional modes of thought. In order to make them "comprehensible," translators sometimes had to conduct a drastic transfusion of hybridized thought into the "pure" Japanese soul – a transfusion that could cause great havoc. People who went abroad to study in Western countries frequently suffered nervous breakdowns. Nevertheless, some succeeded in opening up new ways of thinking by aggressively challenging Western philosophies even while appropriating them, and by modifying traditional Japanese ideas where needed. We should not forget the names of those who made special contributions to phenomenology: NISHIDA Kitaro (1870–1945) and WATSUJI Tetsuro (1889–1960) are the best known.

Similar efforts have been made in other countries and in other regions all over the world. Needless to say, we continue to make efforts even today. But the important point is that phenomenology – a locally engendered way of thinking – was, in fact, able to successfully take root almost everywhere in the world. How was this possible?

The Western sciences place great emphasis on "universal knowledge." In the nineteenth century, the "natural sciences" were regarded as the epitome of such knowledge. However, near the end of that century, Husserl came to feel that the sciences had lost their ground by becoming detached from their origin. This situation was referred to as the *Grundlagenkrisis* (crisis of the ground), especially with regard to the field of mathematics, the support of all the natural sciences. One may recall the titles of Husserl's last writings: *Die Krisis des europäischen Menschentums und die Philosopie* and *Die Krisis der europäischen Wissenschaften und die transzendentale Phänomenologie*. The use of the word *Krisis* instead of *Krise* points to his belief that his phenomenology had always been a battle against the *Grundlagenkrisis* that ultimately threatened European humanity and its history.

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[1]Although we can refer, for example, to traditional Chinese thought as a Far Eastern "philosophy," there was actually no distinct concept of "philosophy" in the Western sense until the encounter with the West. Today we tend to use "philosophical" concepts to think about matters antecedent to "philosophy" even when they do not quite fit into the framework of "philosophical" concepts. Non-Western hybridized people all endure this difficulty. However, in the sense that all cultures are hybrid to some extent, all peoples experience a similar sense of "not quite fitting." An isolated and completely original folk might generate concepts adequate to its life. But this is usually not the case. Very probably we have not and have never had concepts entirely "adequate" to our life. Even in the (apparently) harmonious relations between (allegedly) original concepts and the reality of life, something inadequate and non-comprehensive remains hidden. I think that it is precisely such a situation that gives birth to "philosophy" in the broad sense.

What is this "ground" that had been lost? It had not been thematized as such before and came only the fore in its relationship to the critical situation of the sciences. It could be called by the traditional (at least since the time of English empiricism) name of "experience." The empirical lacks universality because of its particularity (although it is concrete), but "experience" was attractive to those who saw the danger of the *Grundlagenkrisis* and who had become impatient with the abstract speculation of traditional philosophical theories. At the same time, however, "life" and analogous words were found to be more adequate to express the "ground" in question. We know of the emergence of "life philosophy" around that time. And it is also well known that Husserl used words like *Bewußtseinsleben* (life of the consciousness), *Lebenswelt* (life-world), and so on. Or better, one should understand all these terms in the context of the German language. *Leben* (life), *Erleben* (lived experience) and *Erfahren* (experience) are all closely related. They all point to something that is most fundamental and that is neither alien nor alienated from us, something that is direct and near.

A similar tendency appeared in the Far East at about the same time. Nishida wrote in his early representative work, *The Study of Goodness*: "I want to regard pure experience as the unique reality and account for everything upon this ground." We find here the term "pure experience," drawn from William James, who lived, so to speak, in the "Far West" (as seen from Europe). Clearly, the two far reaches of the world were facing the same problem as Europe. In any case, experience here should not be understood simply as "the empirical." The empirical is particular and has not sufficient universality to "ground" the sciences. To do this, it was necessary (although difficult) to develop a new concept of "experience" or "life."

This brief backward glance at twentieth century philosophy suggests that the condition for the possibility of phenomenology to lower its roots all over the world lies in the concept of "experience" or "life," which, after all, is something near to all of us and common to all places and traditions. But the concept of life (and experience) remains very vague. We now have worldwide organizations such as OPO (Organization of Phenomenological Organizations)[2] and much intercultural exchange within the field of phenomenology. This has become possible as "all farness in time and space diminishes" (Martin Heidegger: *GA* 79, S.3). Scholars gather together from everywhere into nearness and meet each other. But do we truly "live" nearer than before? To what do we live "nearer"? In order to understand the meaning of our situation and to make it more fruitful, we need to reexamine the concept of "life" and delve into some of the cultural and conceptual differences in the way it is grasped.

It is said that the Chinese character for life, 生, derives from the figure of a plant sprouting[3] (from the earth and therefore from nature). This is similar to the ancient Greek concept of *physis*. The corresponding Japanese word, *iku*, on the other hand, is a conjugate of the word *iki*, which means "to breathe." Something that breathes is

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[2]OPO was established through the superhuman efforts of Lester Embree with the cooperation of his many colleagues.

[3]See SHIRAKAWA Shizuka: Jito (2004) and Jikun (2005), Heibonsha (Tokyo).

something that lives. This is similar to the ancient Greek *zoe*, interchangeable with *psyche*, which also means "to breathe." The Hebrew *neshama* – that which was inspired into Adam by God – also seems similar, although in this case the breath comes from outside the world. The English word "life" is said to be related to "leave" and to originally mean "survival on the battlefield." The relationship to combat and war was an essential part of the English word. But the word "life" is also related to the German words *Leben* (life) and *Leib* (living body). Japanese and Chinese have another character to indicate life,命 that means not only life as 生, but also a command or "directive" that comes from the gods. One "hears" the directive; "life" implies a direction. These many (intercultural) connotations of the word "life" are illuminating for phenomenological thinking and should be kept in mind as we go further.

These etymological differences point to some cultural differences in the concept of "life" from an empirical point of view. But there is also a "universal" structure that can be found by going back to Husserl's view of phenomenology. What is the "life" that Husserl experienced? If this "life" is "nearer" to us than the sciences, what kind of "nearness" is it? This nearness cannot be measured, either scientifically or by everyday methods. We must look for it precisely by means of and in the execution of a phenomenology that tries to be nearer to life. And when we seek for the destination (the *quo vadis?* so to speak) of phenomenology, we should look in the direction of the life that phenomenology attempts to take in hand. But at the same time, we may also encounter the problem of "farness" and a need to change direction.

2 Phenomenology in Nearness

Although Franz Brentano's influence on the young Husserl as the latter worked out his phenomenological method is well known, Husserl's relation to the other important philosophical tendency of the time is often underestimated: early positivism. Ernst Mach, who used the word "phenomenology" before Husserl and whose article Husserl reviewed (*Hua XXII* S.148ff.), spoke of a "direct experience" of which "direct description" is possible, in comparison to the "indirect description" of the sciences. Anything "indirect" is far from us; "direct experience" is what is near to us. Mach uses a famous drawing to explain the central features of "direct experience." We normally believe that there are many things in the world and that "I" am also in the world and that the things and "I" are causally related. But from what viewpoint is this "experienced"? Mach draws a picture in which we see his room and part of his body. Of his face, we see only the tip of a nose and some eyelashes. There is no complete face. Such is the view "directly experienced" by Mach himself (or better, seen by his left eye). The drawing, of course, needs to be complemented by the view from the right eye and of many other moments. Nevertheless, it is very "illustrative" (or "directly descriptive") of "direct experience."

Husserl's idea of direct experience is similar to this; he called it "lived experience." "Lived experience" is closely related to "life." German terminology indicates this relation well, since "lived experience" is *Erleben* or *Erlebnis*, while "life" is

Leben. In fact, for Dilthey, one of the most important life philosophers, "life" is "a connection of lived experiences." It is a duration in which various things occur but which is unified as a whole. This was also the case with Husserl.

But lived experience is not the only issue that must be dealt with. If one thematizes only lived experience, the result is a "philosophy of immanence" (of which Mach is said to be guilty). Husserl was strongly critical of this in that it made no distinction between "lived experience" (*Erlebinis*) and "experience" (*Erfahrung*). We "experience" an object by means of or through the "appearances" given to us in "lived experience." We must not forget the correlation between "what appears" (the object) and its "appearance(s)," which corresponds to the relationship between "experience" and "lived experience(s)." "Lived experience" is not thematic, whereas the object that is "experienced" is. Husserl, following the discovery of the transcendental phenomenological reduction, expressed the relationship in the following way: "lived experience" belongs to the dimension of "real (*reell*) immanence," while the object is "experienced" by-means-of/through the "noema" as "intentional immanence." Intentional immanence is an integration and animation of really (*reell*) immanent "hylēs" by "morphē" or "noesis." An object that is thematically experienced as "what appears" is constituted by-means-of/through unthematic "appearances" that belong to "lived experience."[4] Immanence philosophy, which simply regards immanence as reality, lacks this essential distinction. The "by-means-of/through" structure is essential to "intentionality." Husserl's use of the expression "universal a priori of correlation" (*Crisis*, p.166 fn.: *Hua VI* 169 Rb.) can be understood to refer to the correlation between noema and noesis, but if we look more carefully, we can also see a dynamic "by-means-of/through" movement from the noema to its object. Husserl says: "Obviously we must recognize our references to intentionality as ambiguous, depending on whether we have in view the relation of the appearance to what appears or the relation of consciousness, on the one hand, to 'what appears in its way of appearing' and, on the other hand, to what appears simpliciter." (*On the Phenomenology of the Consciousness of Internal Time*, p.28: *Hua X*, S.27) As the word "universal" in "universal a priori of correlation" implies, all experience, e.g. perception, image-consciousness, fantasy, language, the experience of Others and so on, have the same structure. The Husserlian word "consciousness" encompasses all these experiences. In this way, Husserl adds an essential moment to Mach's vision. And because of this addition, the Husserl's nearness reaches farther than Mach's.

We should recall here that noema is also designated as "perceptive sense" (*Wahrnemungssinn*), that the word *Bedeutung* (meaning) is related to *deuten* (to indicate), and that *Sinn* (also meaning) has the same etymological root as *senden* (send). "Sense" is not something static; it "sends" an indication to go beyond. Through the "by-means-of/through" structure, sense (meaning) goes beyond itself to the object.

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[4]In German the words *Erlebnis* and *Erfahrung* have different nuances. Martin Jay points out that the former is fragmentary, while the latter has a narrative character implied by the *Fahrt* (jouney) in *Erfahrung*. See his *Songs of Experience*; University of California Press, 2005.

It is always directed. But this directedness also adds a "transcending" tendency to our ordinary way of thinking: we believe that there is an external world, we think that the I and things are in that world, and we forget the (near) structure of our life.

Sense aims at the object. One can say that intentionality, as an essential movement, also aims at the object. Here Husserl adds another important phenomenological insight: he puts into brackets the belief that the object "exists" outside consciousness. Husserl probably gained a seminal insight into this matter while writing a review of Twardowski in the 1890s. Twardowski distinguished representations "which have an existing object" and representations which do not. But Husserl criticized this distinction, questioning how we are to confirm whether the object exists or not. Let us go back to Mach's drawing. Is it possible for us to step outside our circle of vision to confirm the "ex-sistence" of an object? Even when we think we have done so, we have, in fact, simply stepped into a different (perhaps wider) circle. We cannot detach ourselves from our vision. We and our vision are inseparable. This being true, we must abandon the belief that we can step outside of it, and consider how we distinguish between the two kinds of representation from inside the circle of vision. Correlatively, we must put our belief in the "ex-sistence" of an object into brackets. This insight led Husserl to the discovery, or establishment, of the phenomenological reduction. There is no need to go out of the circle of vision in order to distinguish the two kinds of representations. "Existence" or "being" or "transcendence" is a character which the noema as intentional immanence possesses within the vision. This "transcendent" character is constituted and given by means of the "transcendental" operation of the consciousness precisely in that immanence. If "transcendence" suggests a kind of farness, Husserl reduces it to intentional nearness, though he stretches the circle of vision in doing so. Through the reduction, phenomenology is transformed into a transcendental phenomenology, and transcendentally reconsidered vision can now be referred to as "inner vision."

3   Three Features of Inner Vision

The vision arrived at by reduction has three further features. Husserl battled psychologism as part of his attempt to provide a firm foundation for the sciences. Psychologism tries to define "the ideal" from consciousness, saying that "the ideal" lies inside the latter. Superficially, this claim may seem almost identical to Husserl's. But Husserl countered that what psychologism calls consciousness is factual and particular, not universal. It is "real," not "ideal," and it is impossible to ground the "ideal," which is universal, in the "real," which is particular. To do this involves a kind of metabasis. One must distinguish between the ideal and the real. But why did Husserl insist that the consciousness spoken of in psychologism is "real"? Does this consciousness contain nothing of the "ideal"? No, says Husserl, because psychologism tries to grasp consciousness from the outside, instead of from the inner vision. It turns consciousness into something seen from a third-person, or rather, from an impersonal vantage point. The consciousness of psychologism is "real" because it

lies outside. Outside the inner vision, where the transcendental vision has been left behind, there is only the "real."

Husserl says in his critique of psychologism: "The being of the ideal is therefore obviously a being in consciousness; the name 'content of consciousness' rightly applies to it. As opposed to this, real being (*reales Sein*) is no more being in consciousness, or being-a-content: it is being-in-itself, transcendent being, being outside of consciousness. We do not wish to lose ourselves in the erring paths of such a metaphysics. For us what is 'in' consciousness counts as real (*real*) just as much as what is 'outside' of it. What is real (*real*) is the individual with all its constituents: it is something here and now. For us temporality is a sufficient mark of reality" (*Logical Investigations*, vol. 1 p.249: *Hua XXIX*/1 S.129).

In setting consciousness outside of inner vision, psychologism forgets that we cannot detach ourselves from that vision. Setting things outside makes them "real," and if everything is "real," universality is impossible. There remains no room for it. But we do indeed encounter universality – for example in mathematics and logic. If we are to find the ground for that universality, we must go back to the vision in which it is encountered. That is, we must go back to the inner vision. This vision cannot be relativized by an outside point of view, since it is impossible to step outside it. If we call the inner vision "life," then "life" is precisely where "the ideal" lives. The transcendental phenomenological reduction leads us to "life," in which we are near to the ideal. In order to arrive at the ideal we must go back to the nearness of life.

All meanings are ideal. It is well known that for Husserl, "meaning" largely coincides with linguistic meaning. For example, the meaning of "morning star," which is ideal, is not identical to that of "evening star" (also ideal) and neither is identical to the real object "Venus," although the latter is referred to by means of/through both. The (perceived) object itself has the same structure, although in this case Husserl generally uses the word "sense" instead of "meaning." The relation between meaning and object corresponds to the relation between lived experience and experience, or between appearance(s) and that which appears. The object is intended by-means-of/through sense, which is lived. Everywhere there is "a universal a priori of correlation." Husserl sees a structural isomorphism in all of our experiences, from the lower to the higher levels, and his conception for grounding the sciences in life is based on that structure.

As the second feature, the transcendental inner vision is "open." It has a temporal and spatial reach that cannot be drawn graphically into Mach's picture. We must add it in our minds. Temporality causes the vision to stream constantly and adds to the present the breadth of retention and protention. Objects and events flow along this breadth. Even that which has flowed away beyond the range of retention does not perish, but can be reintroduced into the present through recollection. Every past (and also every future) is "indicated" from the breadth of the present, as a temporal horizon.

Regarding spatiality, let us go back to the room given to Mach's vision. If I move my eyes to the right, the vision correspondingly moves to the left. This can be described in terms of "kinesthetic consciousness." The sensation of the eye movement is given as the "K-component" and the vision of the room as the "b-component."

Through a continuing process of such kinesthetic movements, the vision grows wider and former visions are successively integrated and apperceived as a special horizon (naturally, former visions must be retained by retention). And although only a room is given to Mach's vision, the exterior beyond the room is not "nothing." It is "indicated." I am conscious that "I can" kinesthetically leave the room and that "I can" encounter a new vision there. Spatiality expands in correspondence to this kinesthetic consciousness and is called the outer horizon. The world is the "farthest" horizon. But even in encountering the world, we do not step out of our inner vision. We experience the world through indication. The indicated world is part of our vision in the broad sense, although a perfect fulfillment of the world-intuition is not possible. Such an inner vision is not closed at all. It is open and has no "borders" as seen from inside of our life. Only when we regard it as something psychological, as something that lies in the (real, outside) world or as something in one's "consciousness," does it become closed. The inner vision itself is an open vision. The discovery of this openness is decisive.

The constitution of temporality (and spatiality) has another important function. It is thanks to temporality (and spatiality) that even objects very similar or same in meaning can be "individuated": that is, "the one now and here" can be distinguished from "the other then and there." Temporality is essential to the individuation of objects. (Remember Husserl's earlier cited words from *Logical Investigations*, vol. 1 p.249.) Our inner vision is open enough to prepare for the possibility to think "out" in this sense too.

Everything is experienced in the inner vision, in nearness, and in openness. But all lived experiences have a tendency to flow away. Because of its openness, there is also a tendency towards farness even in the nearness of life. Retention draws back experiences, but the power of retention is not very strong. In order to draw back lived experiences that have flowed away beyond the scope of retention, something else is needed. This is the "I" – something Mach did not acknowledge and which must be added. The "I" can re-collect. It can draw things back and bring them into nearness again. But the "I" of the inner vision is not a psychological "I." Following Kant, it was named the "transcendental I," although Husserl's nearness and farness to Kant is something else that must be reexamined. The "I" has a counter-tendency to unify and close against life's tendency to escape and disclose. Without the "I," life would disintegrate. This "I" is also localized as an individual in the world. But its function is transcendental and makes the empirical possible.

The third feature of vision is that an intention directed towards an object by-means-of/through sense can be fulfilled, or remain unfulfilled. Unfulfilled, the intention remains "empty." Or if something that is intended is not given (or something that is not intended is given), "disappointment" occurs – like the "disappointment" referred to in the passage from *Crisis*, cited at the beginning of this paper. This is the origin or germinal form of "negation" in the logical sense. "Truth," as opposed to mere "coherence," is determined by the fulfillment of an intention. Correspondingly, truth occurs in life, in nearness, but so does disappointment. Husserl had already discovered the relationship between intention and fulfillment in the 1890s (cf. *Hua XXII*, S.411) but initially conceived it as something that occurs factually. Only later

did he come to reconsider it as something fundamental and essential from the transcendental point of view.[5] With this latter development, the concept of "evidence," which emerges in the process of intuitive fulfillment and makes possible the determination of "truth," comes to the center of his phenomenology. From this point, Husserl began to criticize his own earlier thinking as being "pre-phenomenological" (*Hua XXII*, S.475). He also elaborated and extended the idea of fulfillment to the dimension of practice: an intention directed towards a goal by-means-of/through sense should be fulfilled. Sense, or meaning, with its intention-fulfillment structure, has such a practical aspect too.

The scope of inner vision is where I live; this is where I encounter meaning and sense. This state as a whole is my life. It is only within this dimension of meaning or sense that temporality, spatiality, individuation, truth, and goal can be constituted. Furthermore, this dimension is governed by rules or laws that are a priori, ideal and rational and which appear most explicitly in language and logic. The clarification of these rules in the form of logic is an important task of the I. But as already seen, Husserl goes deeper and further, He hoped to ground logic upon the rules or laws that govern our life, and further to ground sciences in general upon this (transcendentally grounded) logic and thus to unify them. Only through such a grounding operation can the alienated and externalized sciences be drawn back to nearness and to the internality of life, and only then will life itself be internally and properly rationalized in its nearness. This is what Husserl intended to "realize."

In this way, Husserl placed phenomenology in its nearness to life, then proceeded to expand that nearness to the horizon of the world. The world, however, is peopled by Others, which brings us to other aspects of nearness and farness in the context of the problem of intersubjectivity.

4   Phenomenology and Nearness/Farness

Every Other has two sides. On the one hand, he/she co-constitutes the world with me. My constitution of the world cannot be accomplished without the Other. On the other hand, I must constitute my co-constituter.

Husserl described the constitution of the Other in terms of "empathy." At first the Other "appears" as a body. By-means-of/through the "appearances" of the body, I intend the Other as something that corresponds to what appears, i.e. as subjectivity. But in order for the Other to possess the meaning of a "living body," that meaning must come from my own living body. The vector of the constitution goes from me (my living body) to the Other. This is the standard interpretation. My interpretation, however, is different.

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[5]Husserl also regarded practice, which is an important aspect of life, as having the same intention-fulfillment structure. Cf. Thomas Nenon; "Husserl's Concept of Reason as Authenticity," a lecture given at Ritsumeikan University in 2004.

In order for me to constitute my living body in its entirety, I am in need of its appearances to the Other. This is because e.g. my face (the most essential part of my body) does not appear in my inner vision. My vision must be supplemented by that of the Other. In this sense, the vector of constitution comes from the Other. Grasped statically, the two vectors may seem contradictory. Dynamically, however, they can be seen as inseparable aspects of the same double-movement. My living body and that of the Other are both constituted in an "ecstatic" and "internalizing" double-movement that Husserl names *Ent-Fremdung* (alienation) and *Einfühlung* (empathy).[6] To cite an example from Merleau-Ponty, I can feel the heat of a cigarette held by my image over there, in the mirror. Even in this commonplace example, I leave my own body. I am more open than supposed; "transgression" (*Überschreiten* or *Übergreifen*) is easier than expected. In the mirror, I can see the image which the Other sees of me and integrate it into my own image of my body. Even without a mirror, I can see the Other seeing me. In the double-movement, the Other's image of me is not separated from my image of the Other. I feel in the Other's body something that comes from me and I feel in my body something that comes from the Other. The "individuation" of bodies, and also the localization of the I and You, is more difficult than that of things, because although there is a "primal division" (*Urscheidung*; *Crisis*, p.256, *Hua VI*, S.260), there is no perfect syncretic fusion here. The scope of the body is greater than one might suppose. The body (*Leib*) is a concrete medium of life (*Leben*). In the scope of the body-life, the Other is unexpectedly near. There, through the double-movement, "we" have faces that are similarly structured in meaning. The meaning of the body, especially that of the face, comes primarily from the Other before and without the mirror experience. The child is a model example: the first Other is generally the mother and/or father (cf. *Hua XV*, S.604) and other family members. The child "learns" from them by mimicking and being mimicked. "Mimicking" is an essential moment of the intersubjective relationship. In this relationship, even if I encounter something incomprehensible in the Other, I can normally interpret it contextually, in the interconnection of meanings within the scope of comprehensibility and comprehensiveness that is created by the double-movement. And without this double-movement even our "self"-recognition could not be executed. An important aspect of this relationship is that the Other contains something foreign and alien from the very beginning, even if in a minimal way.

I would like to emphasize another point here. Namely, this place where I and the Other are in an ecstatic-internalizing and therefore "comprehensible/comprehensive" relationship, is, precisely speaking, not the "I" in the proper sense. It should more properly be called "the primal I of the primal life" (*Hua XV*, S.586). If the double-movement constitution of the I and the Other goes well here, the "we" is

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[6]Such a double-movement experience is not extraordinary at all. Even within the "I," i.e., in time-consciousness, an ecstatic and internalizing double-movement occurs between the present I and the past I. Husserl designates this movement as *Ent-Gegenwärtigung* (de-presencing) and *Erinnerung* (recollection).

also constituted as something already achieved. At the same time, the primal I also constitutes the "home-world" (although the "home-world" does not yet have a "proper name," since it has not yet been thematized as such) and the "we" is designated as a "home-comrade." "We" are "familiar" or "neighbors" (near to each other), although the situation is not thematized as such, but simply "lived."

But if I attempt to thematize the Other, it suddenly turns out that I cannot. I can have only an "appresentation" of him. Until I attempt to thematize him, the otherness of the Other is hidden; he is comprehended in the "we."

Sometimes, however, I meet an alien Other who does not belong to the home-world. This Other is unfamiliar, or sometimes even "incomprehensibly alien" (*Hua XV*, S.432). I find him uncanny, because whereas the home-worldly Other, i.e., my home-comrade, is comprehensible to me if only in appresentation, the alien other is beyond comprehension and beyond meaning. To put it differently, all meaning is comprehensible and dwells in nearness. But the alien Other who is beyond comprehension and beyond meaning is far away and inaccessible. This is the "phenomenon" of farness: the Other of an alien culture, of an "alien-world." It is "indicated" outside the primal I in which "we" are "comprehended/comprehensible."

Husserl sees nevertheless the possibility of somehow understanding the alien Other. If "I" can succeed in understanding him as one who is to some extent similar to my home-comrade, "I" can reconstitute a new "we" with him. Now, my "home-world" has been thematized as such for the first time with the encounter with the alien Other, in contrast to the "alien-world" that lies in farness. With this thematization of the two worlds, a new (and larger) world that comprehends both "home-world" and "alien-world" is constituted by "me" — although this "I" is, properly speaking, the primal I who has not yet been thematized and is still anonymous. And the outside that was previously "nonsense" becomes meaningful now, in the sense of its being "outside the home-world," although if it is understood in the sense of its being "outside of the anonymously operating primal I," it is yet and always nonsense. Nevertheless the encounter with the alien Other indicates the possibility of a new encounter with a new Other, and in this sense, with a new outside. "I" am prompted, by this experience, to constitute the universal world that comprehends all possible alien-worlds, as something ideal. This constitution aims at the "universe" as the farthest horizon. In order to be "comprehensible," the universe must exclude contradiction and must be rational. This leads to a tendency to try to hide or eradicate the otherness and farness of the alien Other by bringing it into nearness, although the attempt is not always successful. Here we can see the two-sidedness of the Other and the double-movement of our experience of the Other. Between these two sides and in the near-far-double-movement of our experience of the Other — without it "intercultural" self-recognition could not be executed —, our life oscillates. The oscillation is generally "healthy" but can sometimes be cataclysmic.

Generally speaking, in order to create a community with Others like this, one must "share" (*sich-mitteilen*) one's will with them and vice versa. Husserl also expresses this as *communicatio* in Latin (cf. *Hua XV*, S.472f.). It is symbolic that he emphasizes the act of a family (or neighbors) "sharing a meal" (*gemeinsame Mahlzeit*) as a basic moment for the constitution of a community (*Hua XIV*, S.178). Within the family, the

basic constitution of the "we" occurs normally in a natural and passive way without active commitment of the "I." The act must be purposefully extended in order to create a community with others, but it is also an act that can be rejected. This means that the decision is "free." It involves the execution of a kind of autonomy.

This relates closely to the constitution of history. In history, "I" constitute a "generative" intersubjectivity and community, and if the constitution of a generative "we" is successful, "I" can constitute one unified history. Husserl regarded the possibility of a universal community and universal history in the light of a "teleological sense" of the historical Europe, which was Husserl's "home-community." This community is localized, but is nevertheless open to a universal community and history. The process of this history, constituted by the "I," is determined by the intention-fulfillment structure. In this history, truth must be realized by the rule of rationality. Husserl felt himself "called" to promote this rule, and it is this call that directs him.

5   Phenomenology and History

Husserl located meaning in the nearness of life. Even "the meaning of human existence" belongs to this place, where the (objective) sciences cannot find it. Husserl says: "We make our beginning with a change which set in at the turn of the past century in the general evaluation of the science. It concerns not the scientific character of the sciences but rather what they, or what science in general, had meant and could mean for human existence. The exclusiveness with which the total worldview of modern man, in the second half of the nineteenth century, let itself be determined by the positive sciences and be blinded by the 'prosperity' they produced, meant an indifferent turning-away from the questions which are decisive for a genuine humanity. Merely fact-minded sciences make merely fact-minded people." (*Crisis*, p.6; *Hua VI*, S.3f.). Husserl speaks of "the 'crisis' of science as the loss of its meaning for life." The (objective, or "positive") sciences had left behind the life which is near to us and where all meanings are given, and had distanced itself far from it. Husserl's words illuminate the continuity of his thought from the beginning to the end. It is not true that the Husserl of the *Logical Investigations* was "dry" and "scientific" while the Husserl of the *Crisis* was "wet" and "humanistic." He was always meaning-sensitive.

But we can see a subtle change in Husserl's thinking about meaning in history. Initially, as is well known, he said that there is no motive for the transcendental phenomenological reduction. "There is no need to ascribe a motive to phenomenology as to why it turns off the empirical positing" (*Hua XIII*, S.156f.). It is a matter of "full freedom" (*Hua III*/1, S.63). Why? Probably because in the empirical scientific dimension there are only facts and no place for a meaning that might motivate us. Then how about the inner vision, where meaning is to be found? As is also well known, Husserl in his later years spoke of the call that prompts us to acquire universal knowledge. "The faith in the possibility of philosophy as a task, that is, in the possibility of universal knowledge, is something we cannot let go. We know that

we are called to this task as serious philosophers" (*Crisis* p.17; *Hua VI*, S.15). Husserl "knows" that he is "called" (*berufen*). This means that there is indeed a motive — a rational motive— for the phenomenological reduction.

What calls Husserl? From where is he being called, if he is in the inner vision that has no outside? Is he being called by the (somewhat Kantian) principle of the autonomy of reason, as the words "self-regulation of whole personal life" (*Hua XXV* S.27) suggest? Are we prompted to be autonomous in and by the innermost workings of our life? Are we moved (by a call) from within? Do the words "*our inner personal vocation*" (*Crisis* p.17; *Hua VI* S.15) imply such an affection?

We must remember that for Husserl, life is not isolated from the world, but is something that experiences the world in the transcendental sense. An autonomy apart from the world is impossible. This holds not only for the individual subjectivity but also for intersubjectivity. The (home-)world that Husserl experienced was named Europe. But he says: "European humanity deviates from its innate telos" (*Hua XXVII*, S.118). These words are meaningful only in the context of the European world. From this world Husserl hears a call that "inspires into him [= the philosopher] the idea of a *scientia universalis* and demands his absolute dedication" (*Hua VIII*, S.17). It is a call from his (home-)world as his proper "life"-world.

Max Weber once pointed out that the word "vocation" (call) is prevalent in the Protestant countries. Is Husserl's concept of vocation an expression of his Protestant beliefs? Or shall we interpret it in the transcendental sense, or better, in the trans-transcendental sense — namely, as a call from a god who is "outside" the transcendental vision, despite the fact that the outside of our vision is without meaning for us? Such a god is ab-solutely alien to us and our world, therefore the ab-solute Other. Does the call come from such an Other? Or does it come from history (or the historizing movement of the European being) itself? Or does it come directly from (one's personal) life?

Husserl says: "I mean that we feel (and in spite of all obscurity this feeling is probably legitimate) that an entelechy is inborn in our European civilization which holds sway throughout all the changing shapes of Europe and accords to them the sense of a development toward an ideal shape of life and being as an eternal pole" (*Crisis*, p.275; *Hua VI*, S.320). In his "life"-world he "feels" that there is an inborn "sense" which is almost synonymous to the "direction" of European civilization and which cannot be felt outside of this life-world. He "hears" the call of European civilization. But it is an obscure call, because in the life-*world* we are forgetful of "life" and have a tendency to close our "ears" against the call of "sense/direction." And for Husserl, "European civilization" (*europäisches Menschentum*) is a kind of community that is not near enough to be constituted passively. He needs to "recon-firm" or to "rebaptize" his belonging to it, although he already "hears" its historical call. He reads the "traditional" philosophical writings. He makes a kind of *Ent-Fremdung* towards Greek philosophy. And he also attempts to bring their "sense" closer to himself through a kind of *Ein-Fühlung*. It is only by means of such a double-movement that he can arrive at a clear "historical" self-recognition. Precisely in order to discover the "sense/direction" (*Sinn*) of history in this extended self-cognition, Husserl executes a "reflective analysis" or "meditation" (Be*sinn*ung)

(cf. *Crisis*, p.392; *Hua VI*, S.510). But for Husserl, this "reflective/meditative analysis" must be conducted through the transcendental reduction, which leads us to transcendental "life" or to the "internality" or "spirituality" that is nothing less than the inner vision. Only here can he clearly hear the "call" that directs not only him but all participants to the establishment of a "universal science" or a "supranationality" that lies beyond the particular or national. Husserl "decides" "freely" to participate in this community of scientists and to follow the historical "sense/direction" to supranationality, to head from life to the universal sciences as a destination. He also regards the fulfillment of this directive as a matter of ethics

6   Conclusion

Husserl's ideas should be compared in detail to those of Heidegger and also of Levinas, but here I will confine myself to a few short comments. Phenomenology discloses the inner life where meaning (*Sinn*) is given. There Husserl "hears" the call of a historical community that ultimately calls him beyond that community to a supranationality. Although he "can" reject this call, he accepts it "voluntarily." The "I" is the supreme arbiter in this decision. Husserl's de-cision, his *Ent-scheidung*, his *krinein*, was a response to the "crisis" of European history.

In Heidegger, on the other hand, it is *Dasein* who belongs (*gehören*) to Being and hears (*hören*) the call. *Dasein* is not alone but is a being-together (*Mitsein*) from the beginning. *Daseins* are in the same "world," which is not universal, but national, and *Daseins* live in it as a "nation." This world arises out of a conflict with the earth. Fine art executes the conflict and makes the "world" occur. The most basic element of this movement of "world-historizing" (*Welt-Geschichte*) is the original movement of being itself: "donation" (*es gibt*). It is this movement that gives historical "direction" to *Daseins*. *Dasein* may make a decision, but it is a decision to accept his individual fate (*Schicksal*). It is characterized as an *Ent-schlossenheit* , a disclosedness (openness) to being, and it is led by the destiny (*Geschick*) of the historical communal being. There has been much unresolved debate about the connection between Heidegger's thinking and Nazism and his easy acceptance of the violence of war. Husserl, I think, regarded Heidegger's thinking at the time as *Irrsinn* or *Wahnsinn* — a deviation from *Sinn*. In any case, after World War II, Heidegger chose to disregard the matter of voluntary moment and to "await" the change of destiny, which seems somewhat irresponsible.

Levinas criticized Heidegger's idea of destiny and set against it the concept of *il y a*, which means that Being "has" (*avoir*) and keeps its destiny instead of "giving" it, as in Heidegger's *es gibt*. Yet Levinas' "subject" is not autonomous, but follows the "direction" of the Other. One encounters the Other in the nearness (proximity) of life, but the Other escapes all efforts to grasp it and therefore has a tendency to "farness." It is precisely to that Other to whom one is "responsible." Levinas also places history in relation to the (divine) Other and regards it as a messianic history. To avoid war and irresponsibility, ethics must relate to the farness in the nearness of life.

I believe that life is a force-field of three moments: the I, Being, and the Other. This is the primal fact of our life, which means that it is something most fundamental without which life would not be what it is. This life is directed toward a future. This is also the case with phenomenology, which is the philosophy of life and sense. Phenomenology is and has been, from the beginning, a "phenomenological movement" (*Hua IX*, S.255). But what is its destination: *quo vadis*? This question becomes more urgent as different cultures with different histories and different historical tasks encounter each other with increasing frequency. The answer lies in the direction of the three moments in the force-field of life, but determining this direction is extraordinarily difficult. It remains, so to speak, a (half-)open task. Without taking on this task, without carefully inspecting the nearness/farness of our actual life, we cannot see where phenomenology is going or should go.

Toward a Husserlian Conception of Epistemology

LI Zhongwei*

1

1. In this chapter I will address the issue of the conception of epistemology. As it might appear to one at first, this issue does not belong to the epistemological problematic, because it does not fit into the typical preconceived network of most epistemological problems. In most general form, epistemological questions address the origin, certainty, and extent of human knowledge, specifically the origin of ideas and notions (Locke, Hume, etc.). Linguistic philosophers consider the basic task of epistemology to consist in offering a correct analysis of the word "knowledge," or as offering standard for anyone to apply the word "know" to any subject. Differently put, epistemological questions are semantic and pragmatic problems. In their more particular form, questions about specific kinds of knowledge are also formulated, and very different answers are offered. Problems concerning perceptual knowledge, logical and mathematical knowledge, knowledge of external world and other minds, etc., belong to this latter category. The problems of justification and the possibility of skepticism occur at both levels. And they are also considered as epistemological problems proper.
2. If the two forms of the epistemological question are the only possible ones, then it seems that the effort to address the issue of the conception of epistemology belongs to a meta-epistemological level of philosophical work, as it is considered to be effort to *clarify* the meaning and essence of the epistemological questions

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in both their general and specific forms, and the meaning of many concepts which are used to build epistemological theories. However, does this meta-epistemological effort not itself belong to a radical *epistemological* enterprise, though in an essentially *radical* manner? If epistemology is considered to be about all possible forms of knowledge, it also needs to be reflexively about itself.

3. The radicality of epistemology in the form of reflexivity is so important that without it, the whole epistemological research would either be superficial or be prone to many fundamental mistakes. This reflexive or radical nature of epistemology shows itself in many epistemological writings; even they fail to address the issue explicitly. However, most of the epistemological works lack the kind of radicality that is needed to present a defensible conception of epistemology; this lack of radicality consists in the failure to reflectively and explicitly clarify the true meanings of epistemological questions and concepts.

4. As I have mentioned in the first sentence of this chapter, the intention here is to address the issue of the conception of epistemology and offer a defensible conception as the result. The above passages have preliminarily shown the necessity to address the issue. I will attempt to offer a defensible conception in the following steps: (1) I will briefly present two approaches to clarify the conception of epistemology, (i) the psychological and (ii) the linguistic (Section 2). (2) I will criticize both approaches, as they fail to capture the essence of epistemology and knowledge. I will draw substantially upon arguments already available from some analytical philosophers who are thought to be in the same tradition as those who offer the two approaches (Section 3). (3) However, all these arguments can be found in a more systematic and radical form in Husserl's writings. I will then present a Husserlian conception of epistemology. I will show that the Husserlian or phenomenological approach is a better alternative than the other two approaches because it offers a more defensible conception of epistemology (Sections 4 and 5).

2

5. The first most systematic formulation of the epistemological problematic finds its origin in Descartes' *Meditations*. The problematic then gets a fuller expression in Locke's *Essay*. Since then, for many philosophers, the distinct task of epistemology is to research into the origin, certainty, and extent of knowledge and the ideas and notions which compose knowledge. Locke thinks that all our knowledge and ideas have their origin in outer perception and inner perception. All the sensible ideas and abstract ideas are produced through the psychological mechanism of producing ideas ultimately through experience. Hence the origin of knowledge is conceived by Locke in a psycho-genetic sense. For example, our idea or conception of judgment comes from the psychological act of making judgments. Perhaps, for Locke, the meaning of this psychological origin is not so clear. However, as psychologism developed in his spirit, what this origin

means became clearer. Psychologism holds that all ideas and abstract notions have a psychological basis, and that all epistemic principles and logical principles are productions of psychological mechanism. For example, the logical principle of identity and the excluded middle are considered to be psychological laws which originate from psychological mechanism. As psychology is from the beginning considered as empirical science, these laws are either taken to be empirical laws or to be discovered through empirical study. Hence, psychologically inspired epistemologists consider the task of epistemology to lie in researching the psychological mechanism which produces ideas, concepts and knowledge of human through empirical method. This method largely consists in introspection in the empirical sense. The method is empirical because introspection is employed to find out the laws governing the *actual happenings* of mind.

6. However, as psychology continued to develop in contemporary times, along with the further development of neurology and biology, old empirical methods of introspection used in psychology have come to be considered unreliable or even unempirical. Therefore, introspection becomes unfavorable for many philosophers in the psychologistic tradition. In "Naturalized Epistemology", Quine paradigmatically represents the tendency to naturalize or psychologize epistemology. He proposes to treat epistemology simply as a branch of psychology. It is therefore a branch of natural science. Accordingly, epistemology should simply be a research of causal relations between the input and output of the neurological and physiological systems of humans in an experimentally controlled environment. This project, as he sees it, is the same as the study of the relation between the evidence and theories in the older approaches to epistemology.[1] The classical epistemological project of researching into the origin, certainty, and extent of knowledge is quite understandable in this new approach exemplified by Quine. It is simply reconfigured in a refined psychological–neurological manner. For example, if we now want to study the origin of the idea of red, or conception of perception, or even our conception of space and of logical principles, there must be a designed experiment to test some human subjects, and the results will consist in causal relations between input and output in neurological terms.

7. Other modern epistemologists may well be psychologically inspired, but they are also influenced by the linguistic turn. Some of them see the problem of epistemology as the linguistic and conceptual problems concerning our "talk" about knowledge. The most fundamental concept in epistemological talk is certainly "knowledge" itself. The linguistic philosophers try to offer various analyses since Gettier's attack of the classical analysis of "knowledge." The classical analysis is formulated this way: *S knows that P, IFF,* (i) *S accepts P,* (ii) *S has adequate evidence for P, and* (iii) *P is true*.[2] This method of the clarification of

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[1] W. V. O. Quine, 1969: *Ontological Relativity and Other Essays* (New York: Columbia University Press, 1969) pp. 82–83.

[2] Edmund Gettier, "Is Justified True Belief Knowledge? *Analysis* 23, pp. 121–123.

the concepts of epistemology is perhaps somewhat foreign to the classical epistemologist. At least for Locke, the way to be clear about a concept is not to be confused by words but to "see" the meaning of the concept in its bare idea through psychological introspection. However, as the project of analysis tries to analyze the more complicated and not directly intelligible concepts and principles into ever simpler and more intelligible concepts and principles. The analysis is thought to be able to offer an understanding of the epistemological concepts such as "knowledge" itself, and other concepts like "perception," "memory," "proposition," "judgment," "evidence," etc., and the epistemological principles formed by these concepts. The understanding of these concepts is thought to *originate* from our understanding of simpler concepts.

8. There are of course many kinds of analysis. Consider the debate over the analysis of the concept "knowledge" or "to know." Some may have a semantic conception of analysis, but this method is considered by many not ultimately fruitful, because when the meaning of word is analyzed into constituents, the constituents themselves might also not be understood. Other philosophers have given pragmatic analyses of words and concepts because, according to many, the meanings of words are their uses. Then the problem of analyzing knowledge becomes the problem of the standard of applying or refraining from applying the term "knowledge" and "to know" in different circumstances. However, the story can be more complicated. The distinction may not be made between whether we should analyze the meaning of word in terms how we *actually* apply the terms or how we *should* apply them. And it can also be claimed that the way it is actually applied is the way it should be applied. As I would like to show in the latter paragraphs of next section, both forms of linguistic analysis have their limit and both of them should be further clarified by phenomenological analysis. The first paragraphs of next section, however, will draw upon the arguments and ideas of Sellars and Jaegwon Kim to criticize the two approaches clarifying the conception of epistemology as they are presented in this section.

3

9. Let's first consider the following two propositions: (i) inner perception of the abstract idea "judgment" *probably* has its *cause* in the inner perception of judgments (Locke), (ii) the neurological and physiological output "J" *probably* occur as an *effect* of the input "j1", "j2", "j3"… "jn" (n→∞) (Quinean position). The two propositions might both be true about how human's psychological, physiological, and neurological mechanisms work in the realm of cognitive science. However, if we consider them as epistemological propositions that capture the essence of our concept of judgment and formation of the concept of judgment, then we will be fundamentally mistaken. As Sellars conceives the matter, the mistake consists in the attempt to understand the *epistemological relation of*

evidence in non-epistemic, psychological, and perhaps other more refined factual terms. He further thinks it is a radical mistake of a piece with the so-called "naturalistic fallacy" in ethics.[3]

10. In order to see Sellars' point, let's consider the third proposition which parallels (i) and (ii): (iii) the meaning of the concept "judgment" can be made intuitively *evident* in acts of judgment. What is distinct about this proposition is that it is about the *evidential relation* between different levels of acts of different degrees of complexity. The propositions (i) and (ii) are about causal relations rather than epistemic relation as it is present in (iii). Sellars and John McDowell thinks that (i),(ii), and (iii) belong to different orders of speech, among which (i) and (ii) belong to the same order, they differ only in degrees of complexity; but proposition (iii) belongs to the "space of reasons," which possesses an essentially normative character. As G. E. Moore points out, a proposition in the order of ethical speech cannot be reduced to a proposition about naturalistic features of certain objects; otherwise a naturalistic fallacy is committed. Analogically, though not quite similar, the *evidential relation* between forms of consciousness does not belong to the realm of *causal relations*. To say someone has evidence for his belief *p* is not the same thing as giving a complete factual description of what happens to his neurological and physiological system.

11. To see that the two forms of proposition do not belong to the same order, let us draw upon Jaegwon Kim's critique of Quine's attempt to naturalize epistemology. As he emphasizes, Quine misses the most important feature of epistemology, that is, its involvement with normativity. Jaegwon Kim points out that epistemology is interested in questions about rationality, justification, and knowledge. It is concerned with whether an epistemic support relation – a justifying relation – holds between the evidence and beliefs. As Kim sees it, Quine has proposed that we ignore these questions about epistemic support and investigate instead the causal connections between our sensory evidence and our beliefs. Accordingly, whereas in the older epistemology we looked to see if there was an epistemic support relation between the evidence and beliefs, in Quine's case we look to see the nature of the causal connection between neurological statuses.[4] What is characteristic about Quine's conception of epistemology is that it eliminates essentially normative concepts, e.g., "evidence," "justification," "reasonable," etc., which make our concept of knowledge itself a normative concept. Hence this form of naturalized epistemology does not investigate knowledge, at least in the positive traditional sense of "epistemology".

12. In this paragraph I intend to suggest the limits concerning the concepts used by linguistic analysis in epistemological theories. Because the linguistic analysis is typically carried out in a strictly analytical way, I think it cannot offer a

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[3]Wilfrid Sellars, *Empiricism and the Philosophy of Mind*, with an introduction by Richard Rorty and a study guide by Robert Brandom (Massachusetts: Harvard University Press, 1997), p. 19.

[4]Kim, Jaegwon, 1988: "What is Naturalized Epistemology?" *Philosophical Perspectives*, Vol. 2 edited by James E. Tomberlin (Asascadero, CA: Ridgeview Publishing Co., 1988), pp. 381–406.

full-fledged understanding of the concepts employed in epistemology. When a complex concept is analyzed into ever simpler concepts, the simpler concepts are still to be clarified. For example, to analyze knowledge is to analyze the concept into three smaller components, i.e. three clauses with some concepts which are supposed to be simpler than "knowledge"; however, to understand these components remains a great difficulty precisely because of the simplicity of the concept of "evidence," which, as simple as it is, is by no means more intelligible than the concept of "knowledge."

13. However, we may obtain some understanding of the concept of evidence when we are offered examples of propositions that are said to be "evident." The meaning of "evidence" is made intuitively evident in those acts of assessing propositions. This process is conceived by Husserl to be a form of analysis, but it is of a different kind of analysis than that of linguistic kind. This is phenomenological analysis, one of whose main functions is to enable us to apprehend the meaning of words in an intuitive way rather than a symbolic way. As I understand the matter, much philosophical confusion indeed has roots in linguistic confusion, but philosophical as well as linguistic confusions may be rooted in phenomenological confusion. According to Husserl, phenomenological analysis is the only means by which to ultimately attain understanding of concepts, including epistemological concepts. The next section is intended to present Husserl's conception of epistemology and his particular phenomenological method of clarifying the epistemological concepts.

4

14. Husserl also understands epistemology as investigations of the origin, certainty, and extent of knowledge and concepts. But he refuses to conceive this enterprise as psychological study of the factual cognitive mechanism, which can be carried out in the realm of folk psychology and the much more refined neurology. As a response to epistemological psychologism, he proposes that the most basic concepts and logical principles should be clarified. Those concepts and principles are constitutive of knowledge, such as the concept of a proposition and the principle of identity. He also urges that concepts which are used to form epistemological theories should be clarified. This is a clarification on meta-epistemological level. Correspondingly, he also urges that the exact nature of the classical epistemological problematic should be made clear. Only through this work of clarification can systematically misguided epistemology be avoided. The psychologistic epistemologists seem to clarify the origin of human knowledge. However, they have understood the term "origin" in an unacceptable way, which leads to a mistaken theory about logical principles and concepts. For them, logical laws are productions of human cognitive mechanism; they "originate" from this mechanism in a literal sense. Accordingly, to clarify the

origin of logical laws is no more than to inductively discover the causal relation within the psychological mechanism.

15. Husserl has a fundamentally different conception of "origin" than the psychogenetic one. By contrast, he understands "origin" as an *evidential relation* that holds *essentially* between a meaning intention and its correspondent concrete acts. These concrete acts intuitively fulfill an intention. This conception of *epistemic origin* presented in his *Allgemeine Erkenntnistheorie*[5] (*Vorlesung* 1902/1903) already has its basis in Husserl's theory of *meaning intention* and its *intuitive fulfillment* from the sixth *Logical Investigation*, which makes a fruitful effort to work out an epistemology. The origin of the concepts presented in the *Allgemeine Erkenntnistheorie* is precisely an application of this theory. For example, the origin of the concept of "judgment" can be and must be made clear in various acts of judgment. As there are many essentially different kinds of judgments, so there are also different corresponding kinds of judging. For example, the concept of "red" originates from the perceptions of red objects, and it is through these perceptions that the concept can be understood. There is a fundamental essential relation between the originally empty meaning of judgment and the intuitively fulfilled meaning in the presence of judging, because the latter gives evidential fullness to the originally empty meaning and justifies it. As Husserl says: "In all dem ist von psychologischer Genesis gar keine Rede. Auf den subjektiven Ursprung zurückgehen, auf die Quellen, denen die logischen Ideen entspringen, das heißt, die entsprechenden Wortbedeutungen mit Evidenz, auf dem Grunde gegebener Anschauung vollziehen."[6]

16. Perhaps it is relatively easy to see that there is some difference between this approach to the study of the origin of knowledge and that of the psychological approach. But it is harder to see the exact nature of this investigation. In Husserl's view of the study, this investigation does not investigate the *factual*, but rather the *essential* in the realm of pure consciousness. While there are many concepts of different sorts with different meanings, their meanings can be made clear only in corresponding intuitive acts. Thus, the evidential origin for various concepts can only be provided by correspondingly diverse kinds of intuitive acts. A description to clarify this relation of evidential origin is then what Husserl called an "essential analysis" (*Wesensanalyse*) of experience of thoughts and knowledge, since that which is made clear in the analysis is a class

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[5]Edmund Husserl, *Allgemeine Erkenntnistheorie, Vorlesung 1902/1903*, in "*Edmund Husserl Materialienbände: Band III*," edited by Elisabeth Schumann (Dordrecht, The Netherlands: Kluwer Academic Publishers, 2001), pp.59–75.

[6]Edmund Husserl, *Allgemeine Erkenntnistheorie, Vorlesung 1902/1903*, in "*Edmund Husserl Materialienbände: Band III*," edited by Elisabeth Schumann (Dordrecht, The Netherlands: Kluwer Academic Publishers, 2001), p. 66.

concept that has its intuitive fulfillment in the intuitively presented analysis of corresponding acts.[7] I shall characterize this description also as a description of the "space of evidence," as it describes the essentially differentiated evidential structures underlying different concepts.

17. As to the scope of this "space of evidence," Husserl thinks it is not only extended to the already self-conscious level of description, but is actually a distinct nature of the stream of consciousness even at the basic unreflective level. In the simple mode of perception, the meaning intention is empty, and the intuition of the object fulfills the intention. The psychological talk about the causal relation between neurological unities might well be of some significance. However, the description of the evidential structure cannot be replaced, since it constitutes what is essential to the epistemic in this relation between empty meaning and its fulfillment. I do not venture to investigate how pervasive the "space of evidence" is, or how the epistemic extends into the realm of consciousness. I am persuaded that it does not only function in the realm of perception, memory, judgment, and all the reflective investigation into these conscious experiences. The "space of evidence" also has a role in our ethical life and other practices. Consciousness is largely characterized by its "place" in the "space of evidence." It is intended that the "space of evidence" can be understood analogous to Sellars' "space of reasons" or McDowell's "space of concepts," but this presentation will not be able to go into details about the similarities and dissimilarities between Husserl's ideas and the ideas of Sellars and McDowell.

18. The above four sections explain Husserl's conception of epistemology through a presentation of his new interpretation of "epistemic origin." Now it is time to say something about the "certainty" of knowledge and expose another fundamental dimension of Husserl's conception of epistemology. There are not only different kinds of evidential relations with different structures; they are also of different evidential force. Consider the perceptual proposition: "a grey rabbit runs." As it is in the sense of a perceptual proposition to say something is actually the case, the meaning intention of this proposition can only be fulfilled in the case of a perception of the case that "a grey rabbit runs," and this belongs to the evidential essence of perceptual meanings. It is also possible, however, that the present perception does not present the fulfillment completely or not clearly. A white rabbit can run from a distance in the fog so that it appears to be grey, or one catches only a "glimpse" of the running grey rabbit. It shows that there is an *evidential force* in question here with regard to the how certain the proposition might be, given the different circumstances in which the perception occurs.

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[7]"Empirische und naturwissenschaftliche Deskription ist Beschreibung seiender individueller Dinge, Vorgänge etc., und Deskription ist Unterlage für die Auffassung von empirischen Allgemeinheiten und von Naturgesetzen. In der Phänomenologie wird in diesem Sinne nicht beschrieben, sondern abstrahiert, generalisiert, es werden Essenzen und Verhältnisse solcher bestimmt."in Edmund Husserl, *Allgemeine Erkenntnistheorie, Vorlesung 1902/1903*, in "Edmund *Husserl Materialienbände Band III*," edited by Elisabeth Schumann (Dordrecht, The Netherlands: Kluwer Academic Publishers, 2001), p. 78.

19. The idea is that evidence can be inadequate or adequate, and this is the funda-
mental phenomenological factor that characterizes the "space of evidence" as
normative. The contrast between adequate and inadequate evidence also gives
us some insight into the meaning of "certainty" and "normativity," since the
contrast between them implies the concept of *evaluation* of the evidence in
terms of its epistemic force in relation to the truth or falsity of the proposition.
As a consequence, the subject in the "space of evidence" is concerned not only
with essential structures, but also with the essential nature of normativity. This
confirms the belief of many, such as Putnam and Jaegwon Kim, that epistemol-
ogy has a normative dimension. The ideas of "the space of evidence" and of
"normativity" take shape in Husserl's early work, and his further investigations
of both ideas lead him to the transcendental philosophy of his later period. In
the next section I will try to explain and defend this claim.

5

20. The earlier analyses of epistemic evidential relations may well be considered
"essential analyses" (*Wesensanalysen*) undertaken with the method of eidetic
variation. As the ideal sense of every concept is only rendered phenomenologi-
cally intuitive in concrete, conscious acts using this method, it seems that all
epistemic evidential relations at last should be clarified by the analysis of basic
conscious acts. But all conscious acts now belong to the stream of conscious-
ness; hence, it seems unavoidable that this method will lead Husserl to consider
subjectivity as the final source of all senses (*Sinne*). The subject conceived in
this manner is not a psychological subject, but a subject as the possessor of the
"space of senses" by being a resource of the "space of evidence." The senses
here are seen as ideal unities which are correlates of our categorical thinking.
This might sound like the Platonic idea that the person can have a look at the
eternal, non-factual world of ideas, but actually it is not, because categorical
thinking is founded upon empirical thinking. Must this conception of subject
and of the "space of senses" and "space of evidence" be thought mysterious,
just because it is not a conception about the factual and cannot be reduced to the
empirical? I do not think it is any more or less mysterious than Sellars' conception
of person or of the "space of reasons."

21. But how does a person enter the special "spaces"? Sellars thinks that a person
becomes a citizen of the "space of reason" by learning to use words in certain
language. According to McDowell, history has contributed much to make us
citizens in the "space of concepts," since factual users of language live in his-
tory and languages and concepts also change in history. There is a dimension of
intersubjectivity and historicity in the "space of evidence," "space of reason,"
and "space of concepts." The Husserlian project does not go directly from a
characterization of the subject and "space of evidence and senses" to language
learning in a community and education (*Bildung*) through and in history. There

is considerable tension between the transcendental ego and the Other and History here. The transcendental ego is conceived as the source of all senses and evidence, including the sense of the other and the evidence that helps to clarify this sense. However, as Husserl continues to develop his theory in his later writings, he also comes to appreciate the importance of intersubjectivity and history in forming the senses and in shaping the evidence. He even conceives that transcendental subjectivity is transcendental intersubjectivity in the end, and, more peculiarly, that history has a transcendental function.

22. Now the second idea that is essential concerning the conception of epistemology, as suggested, is that of normativity. The conception of normativity comes from the contrast between the conceptions of inadequate and adequate evidence, as we have seen, since epistemic evidential analyses are acts that have an aim; that is, they are directed at the truth, the thing itself. Thus, an element of requiring increasingly more adequate evidence belongs to its sense too. Actually it is this conception of normativity that urges Husserl to radicalize his early philosophy of eidetic analysis of the epistemic region. All the eidetic analyses lead finally to the need to focus upon conscious acts; but since these belong to a stream of consciousness, the conception of transcendental ego as the author of all the senses and evidence, was born. Therefore, I think it is no accident that the *Ideas I* (*Ideen I*), after the *Logical Investigations* (*Logische Untersuchungen*), begins directly with a chapter discussing facts and essences (as the essences belong to the region of evidence and ideal senses). I think transcendental philosophy is a continuation of Husserl's project that is motivated by two ideas that can already be found in his early works in epistemology – that is, the idea that epistemology is the phenomenological study of the space of evidence and sense, and the idea that epistemology is a normative discipline with normative requirement imposed on itself, since it studies knowledge and tries to attain knowledge.

Perception as a Source of Justification of Belief

William McKenna

Many contemporary theories of the justification of empirical belief have ruled out sensory perception as an originating source of justification. However, none of the arguments favoring this position seem to have addressed the central points that Husserl has made in support of his claim that sensory perception *is* an originating source of justification. Husserl's discussion seems to me to undermine one of the main arguments used to deny perception an originating role. When Husserl's analysis is further developed in certain ways, as I shall do below, there results an approach to epistemic justification which I believe has promise as a rival to the coherentist and naturalistic (externalist) theories that have become prevalent in recent times.

The argument against perception as a source of justification to which I am referring occurs in the context of discussions of the "regress problem." In his book *The Structure of Empirical Knowledge* Laurence Bonjour explains this problem and develops a version of the argument against perception in a way that is particularly useful for showing Husserl's contribution to the issue[1]. The following paragraphs summarize Bonjour's account.

One of the central problems to be solved by a theory of the rational justification of empirical belief relates to the structure of empirical knowledge. As Bonjour expresses it, "It is obvious that epistemic justification can be *transferred* from one belief or set of beliefs to another via inferential connections, but where does such justification originally come from" (SK, 16)? One of the main motivations for raising this question of a source is the "epistemic regress problem" (SK, 17) which can be summarized in this way: If a person is justified in believing *A* because it can be inferred

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from *B*, and is justified in believing *B* because it can be inferred from *C*, etc., then a decision on whether any of these beliefs are justified is indefinitely deferred.

This problem can be solved by showing that some beliefs can get their justification in ways other than through inferential connections with other beliefs, and in ways that do not lead to a regress. These noninferential beliefs would become "basic beliefs" (SK, 17), beliefs from which other beliefs can derive their justification. Some philosophers have held that intuition is just such a source of justification. They have held that intuition, understood as direct experience of something, can terminate a regress of justification by originating the justification for a belief about that thing. In the case of empirical belief this intuition would be sensory perception.

Efforts to explain exactly how intuition can achieve this have not been successful, however (SK, Chapter 4). It must be shown that intuition is capable of both: (1) providing a cognitive content that can convey justification to a belief; and (2) have this content be such that questions of justification cannot be meaningfully raised about it. Any such effort is hopeless in Bonjour's view because "it is one and the same feature of a cognitive state, namely its assertive or at least representational content, which both enables it to confer justification on other states and also creates the need for it to be itself justified – thus making it impossible in principle to separate these two aspects" (SK, 78).

To take an example to help explain the problem, suppose that I hear a knock on my door and then think and believe that a dinner guest I have been expecting has arrived. I open the door and see the person I was expecting standing before me. Normally one would think that my belief is justified by this perception. Bonjour's analysis of this would be that what justifies my belief is not the sheer fact that the person is there. It is rather my *apprehension* of the person being there that justifies it, an apprehension that contained something like an assertion or thesis that the person is there (SK, 67, 74–76). Alternatively, the representational content of the perception, that is, the way in which the person and situation appear in the perception, may convey the justification (SK, 78). In both cases, the perception could justify the belief because of the, at least partial, identity between its cognitive (assertive, representational) content and that of the perception – provided, of course, that the assertive or representational content of the perception is itself credible (SK, 67). The perception's assertive content must be true, or, the representational content must be accurate.

Here, of course, is where the problem arises. In either case, the conceptual content can be erroneous. Misperception or illusion is always possible in sensory experience. This being so, the question of whether the person standing there is really the expected guest can be meaningfully raised. The conceptual content of the perception itself can require justification and thus the perception of the guest does not end the regress. While it may be true that perception can *supply* justification to the belief, can convey it from somewhere else, it cannot *originate* it. For, a source of justification about which questions of justification can meaningfully arise cannot be a source of justification, according to Bonjour.

For our concerns here, it is on this last point that Husserl's account importantly differs from Bonjour's. On my interpretation, Husserl has identified an aspect of perception about which meaningful questions of justification can be raised, but which nonetheless makes perception an originating source of justification. Further, I believe that Husserl's analysis of this feature of perception can be developed in a way to show that the possibility of regress is not at all a ground for denying perception the power to originate justification; rather, it is constitutive of that power. How can one and the same feature be defeasible, yet also be an originating source of justification? Let us look at the feature in question.

Perception, according to Husserl, is "the consciousness of viewing and having the object itself in person … it is not given as a mere sign or depiction, we are not mediately conscious of it as something merely signified or as appearing in a depiction; rather we are conscious of it as it itself, in the way it is meant, and it is there personally, so to speak."[2] It is this "consciousness of having the object itself," called "evidence" (*Evidenz*) by Husserl, that is the feature of perception (and of intuition generally) which verifies and thus justifies belief.[3]

There are two constituents of the feature "consciousness of having the object itself." One is referred to by the phrases "it itself" and "in person," phrases that express the idea that what is experienced is experienced as the original of the thing, as opposed to representations of it (the "master" so to speak). The other constituent is expressed by the word "having" in the quotation above ("having the object itself"). This expresses something about a person's relation to what they perceive and brings out a way in which one is aware of *oneself* (as opposed to the object) when perceiving something. This constituent may not be noted when reading Husserl because he often uses expressions when discussing evidence that do not emphasize it (as above) It begins to come out more in other expressions that Husserl uses to describe evidence such as the following: "Evidence … designates that performance on the part of intentionality which consists in the giving of something itself. More precisely, it is the universal pre-eminent form of 'intentionality,' of 'consciousness of something,' in which there is consciousness of the intended-to objective affair in the mode itself-seized-upon, itself-seen – correlatively, in the mode: being with it itself…" (FTL, 158). Here a person's sense of their "being-with" something when perceiving it is brought out, but the following passage emphasizes it even more: "The primitive mode of the giving of something-itself is perception. The being-with is for me, as percipient, consciously my now-being-with: I myself with the perceived itself" (FTL, 158).

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[2] Edmund Husserl, *Analysen zur passiven Synthesis*, Husserliana XI (The Hague: Martinus Nijhoff, 1966), p. 96.

[3] Edmund Husserl, *Formal and Transcendental Logic*, tr. Dorion Cairns (The Hague: Martinus Nijhoff, 1969), pp.122–29. This work will subsequently be referred to in the body of the text as "FTL".

How can the experience of being with something itself be a source of justification for a belief about that thing? Clearly, although a person may be aware of himself or herself as being with something itself, this sense of being with it itself can always be mistaken. In our example it could turn out on subsequent experience that what looked at first like the expected guest was in reality another person. Husserl, of course, was aware of this: "the possibility of deception is inherent in the evidence of experience…" (FTL, 156). Thus it would seem that Husserl's account of epistemic justification does not solve the regress problem. A source of justification, in the sense of something that can originate justification, seems not to be available at the level of perception.

But Husserl does not draw this conclusion, as is shown in the way he continues the just-quoted passage: "The possibility of deception is inherent in the evidence of experience and does not annul either its fundamental character or its effect…." To ground this claim he points out that it is the evidence of a new experience which nullifies a previous one, "and it alone can do so" (FTL, 156). "Evidence of experience is therefore always presupposed by the process" (FTL, 156). Applied to our example of misperception, the point is that it is my conscious sense of being with a person themself, who is other than the person I believed I had been perceiving, that justifies the belief that I had misperceived. Being with something itself is involved in two ways here. First, it characterizes the correcting perception. Second, the consciousness of the correction is a case of being with something itself. As Husserl puts this second point, "The conscious 'dispelling' of a deception, with the originality of 'now I *see* that it is an illusion', is itself a species of evidence, namely evidence of the nullity of something experienced" (FTL, 156).

This argument affects arguments like Bonjour's in the following way. Part of his argument was that it is always possible that the credibility of the conceptual content of a perception could be faulty. But how do we know this in any specific case? We know it because we *experience* the illusion or the misperception, by experiencing subsequent perceptions overriding previous ones ("the conscious 'dispelling' of a deception"). Now, this experience relies on *trusting* the conceptual content of the perceptions that correct the first, a trust that originates in being with something itself. Thus, while it is true that a perception that would confirm the validity of a verbally formulated belief is itself subject to error, and a second perception that would settle the question of the first perception is also subject to error, and so on into a regress, it is just as true that a *trust* in perception is maintained throughout this process, a trust that makes it possible for new perceptions to be experienced as corrections of previous ones. In making it possible for previous perceptions to be experienced to be faulty, this trust contributes something essential in constituting perception as a process of epistemic regress, wherein later perceptions can disconfirm previous ones. The source of this trust is the conscious sense of "being with something itself." To be constituted as a correcting perception, each new perception must be trusted as an instance of being with something itself. In addition to this, the experience of the correction, of one perception cancelling another, must itself be trusted, I must be able to have assurance that a correction really did take place in

my mental life. This assurance is delivered by the sense of being with the correction itself. Thus, someone who argues in the way outlined here that perception can be mistaken and can participate in epistemic regress must affirm, it seems to me, that being with something itself is a source of justification, and can be that in spite of being defeasible.

In addition to this argument Husserl has produced many phenomenological analyses of cognition which reinforce his claim. They do not reinforce it by being grounds for it within the context of an argument, for these analyses would then in a way beg the question. Rather they can be understood as contributing to explain *why* "being with something itself" is a source of justification.

Husserl's analyses of cognitive striving provide part of the explanation. Like Bonjour (SK, 7), Husserl holds that the goal of our cognitive endeavors is truth (FTL, 122). What is interesting about Husserl's understanding of this, though, and which ultimately leads him to the position opposed to that of Bonjour, is his finding that "judgments" (verbally expressed predicative beliefs) have no claim to truth or falsity in their own essence, but "any judgment can take up into itself the practical intention aimed at verification, at 'that is right' or at decision whether it is right or wrong" (FTL, 196). Truth, and thus cognition, is prefigured as an end not through the experience of belief per se, but with *assertion*, with belief to which is added the consciousness of "I vouch for that" (FTL, 196–197). This "practical intention aimed at verification" is a "will to cognition," a voluntary wanting to know the object "once and for all,"[4] a wanting to know in a way that assures against error (EJ, 310) and thus makes good on the guarantee of the vouching of assertion. The interest in cognition is directed "toward a conclusive, assured judgment, toward a judgment which the ego can ground and justify, one which, correlatively, is directed toward actual, true being" (EJ, 311). Questions of truth, then, and questions of justification are one and the same (EJ, 311).

As arising in a vouching or guaranteeing stance, we can begin to see why the will to cognition finds part of its fulfillment in the "being with" aspect of the experience of "being with something itself" by filling in some gaps in Husserl's account in the following way. Genuine assertion is not a mere commitment to a belief, not a mere endorsement. Rather, in this vouching, one backs a statement with oneself in a manner that promises a memory of having had a personal contact with whatever the belief is about, or else obligates the assertor to have such a personal contact. To assert is to take on a certain responsibility, and to "be with" is to carry out that responsibility. Being-with contributes justification to an asserted belief and originates its contribution in a way analogous to the way in which an act of meeting one's responsibility contributes to one's virtue and originates that contribution. With such an act, the value contributed is in no way taken away or diminished if it

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[4]Edmund Husserl, *Experience and Judgment*, tr. James S. Churchill and Karl Ameriks (Evanston: Northwestern University Press, 1973), p. 198. This work will subsequently be referred to in the body of the text as "EJ."

should turn out that the act of carrying out one's responsibility was unknowingly misdirected. So it is likewise in the case of assertion and being-with.

Correlatively, "truth" is a normative concept. It is a value that something has in virtue of deserving it by living up to standards. For Husserl, unlike Bonjour (SK, 7), justification is not a *means* to truth, but contributes to its definition, bringing its normative content. Unlike Bonjour, who defines truth as "correspondence or agreement with independent reality" (SK, 158), Husserl defines it as "a correct critically verified judgment – verified by means of an adequation to the corresponding categorial objectivities 'themselves', as given in the evidential having of them themselves; given originaliter, that is, in the generating activity exercised on the basis of the experienced substrates 'themselves'" (FTL, 127). In this formula "adequation to the corresponding categorial objectivities themselves" parallels "agreement with independent reality." The important differences between the two concepts are: (1) that "adequation" designates an *experienced* agreement between a proposition and a state of affairs, whereas "correspondence" designates something which holds between the two irrespective of whether anyone knows that it does; and (2) "categorial objectivities" are states of affairs that have come to the attention of a person in virtue of some active shaping of what is perceived, for example a seeing of something from the point of view of its color in virtue of an activity of focus that foregrounds that aspect of an object and sets it off for selective attention. In such a shaping the color "itself" presents itself to the mind and one is "with" it itself. The concept of truth presented above, however, is not the "intrinsically first" concept of truth, according to Husserl, but is based on another. It is this intrinsically first concept that sets the stage for an explanation of why the second aspect of "being with something itself" is a source of justification. Where the concept discussed above can be stated as "a judgment's correctness by virtue of its original (past or present) adjustment to the itself-given actuality," the intrinsically first concept of truth is that of actuality: the true is "the actually existent or the truly existent, as the correlate of the evidence that gives the actuality itself" (FTL, 127).

This concept of truth yields an intrinsically first concept of cognitive striving, as a striving whose terminal goal is not the possession of truth in the sense of true judgments, but rather "the actually attained true being of the objectivities themselves" (FTL, 129). Here cognitive striving has as its goal the being with this "true being," i.e. with things themselves as they actually are. For this end, the process of verifying judgments serves as a means. In other words, unlike in Bonjour's account, where the possession of beliefs is the end and perception is considered as a possible means, for Husserl a form of perception is the end and the possession of beliefs is a means.

The instrumental role of judgment is twofold. First, assertion motivates categorial formings of what presents itself in perception so that it can be unfolded to show itself and the knower can be with it. In addition, through the critical operation of correction in ongoing processes of verification, it can show itself and one can be with it in its true self. Second, the verbally formulated and corrected expressions of truth in the intrinsically first sense provide a "habitual possession" of that truth, i.e. allow one to "have" it (although not authentically) even while not with it itself.

They do this in the way that they "store," as it were, the potentiality of return to a being with the things themselves (FTL, 129).

From this we can understand how being with *something itself* can originate justification. The process of originating justification is just the process of producing beliefs that possess the potentiality of return. A justified belief is one that stores the memory of "having been there," and stores the directions for getting back.

But what about the possibility of error? How can the experience of being with something itself originate justification while at the same time be liable to error? How can an erroneous experience of being with something itself, where it turns out that one was not at all with the object one thought one was with, contribute to maintaining a trust in perception? To raise the crucial question, how can an erroneous judgment that is verified by a misperception hold in itself the directions for returning to "true being?" The answer to this is that the possibility of misperception is rooted in the very operation that allows access to actuality. To understand this requires extending Husserl's analysis of verification to bring out a new aspect.

As Bonjour correctly notes, perception, to contribute justification, must involve apprehension of a state of affairs (SK, 60). And, as we have seen, he correctly holds that apprehension can result in an erroneous conceptual content. While Husserl discusses this aspect of perception a great deal, he also stresses a positive role of perception in allowing us to access actuality. In Husserl's theory of perception, apprehension involves various ways of perceiving, such as the categorial forming mentioned above, and as well, the employment of recognitory schemes, perhaps aided by the possession of verbal concepts, to perceive something *as* something (to perceive the person at the door as the expected guest), etc. All of these different ways of apprehending what is perceived involve attributing features, some more or less determinate, to what is perceived that are not sensuously present to the perceiver (EJ, 87). In this way perceptual apprehension has an *anticipatory* structure whereby co-conscious anticipated features condition the structuring of the sensuously given features and thus help determine what and how the perceived is apprehended as being. The possibility of error is rooted in these anticipations and error is experienced when they are disappointed (EJ, 88–91). On the other hand, their fulfillment in the course of ongoing perception is what constitutes the sense of being with something itself. It is the continual fulfillment of anticipations, then, which generates and sustains the justification that perception provides.

This gives us an entry to the answer of the question posed above of how an erroneous judgment that is verified by a misperception can hold in itself directions for accessing "true being" (which is the value that is invested and which constitutes its justification). To use our example, the perception of the expected guest verifies the belief that the guest has arrived. To bring out the point I wish to make, we need to vary the example. Let us suppose that a short period of time lapses during which the misperception is not yet uncovered and I am away from the guest. The belief, now held as confirmed, provides the basis for a will toward cognition which is a kind of desire to be with something itself. This desire works itself out in a return to the source of the justification, through the path of the "intentional threads," or sequences of possible experiences indicated by the belief that, so to speak, "knows from whence it came."

There are synthetic processes of anticipation and fulfillment prefigured at every stage of the way which extend well beyond those that terminate in a return, in the case of our example, to being with the situation itself of the arrived person. They extend to future experiences of the same situation which are motivated in their content by the details of the present apprehension. "Evidences refer us to infinities of evidences relating to the same object, wherever they make their object itself-given with an essentially necessary one-sidedness," as is the case of sensory perception.[5] Among these infinities are different possible systems of evidences, some containing experiences with misperceptions, illusions, and other types of errors, along with the different varieties of discordances that are possible. But, among the infinities there is prefigured one which corresponds to the "actually existing object," a particular "system of evidences relating to the object and belonging together in such a manner that they combine to make up one … total evidence" (CM, 63). "Actually existing object" is "an infinite idea, relating to infinities of harmoniously combinable experiences" (CM, 62).

This is not the place to analyze and explain these dense sentences of Husserl. Their import for the present purposes is clear, however: the "object itself" in the sense of a "true being" is what might be called an anticipatory object (Husserl calls it an "infinite idea" – CM, 62), something with which one is always in the process of being with. A misperception can be part of this process because it contains the seeds of its own unmasking in the anticipations that its anticipations lead to, an unmasking which, as we have seen before, is brought by a being with something itself. The belief that was justified by the misperception of who was at the door contains the procedure for me to pick up the anticipatory threads where they were left off and to actualize those syntheses again in virtue of which I am with something itself.

I would like to indicate how Husserl's analysis of evidence can be taken one step further. What he has contributed indicates to me that the desire which is the will to cognition is not the type of desire that seeks to have its tension relieved. It is not like hunger, for example, which is satisfied (at least sometimes) by eating and getting full, whereupon the hunger goes away. It is rather the type of desire that seeks renewal of the tension, more like the desire for objects the obtaining of which only leads to the desire for more of them. The desire for some foods can be like this. Tasting the food leads to the desire to taste it more and one has the sense of not being able to get enough of it. In cases like this, it seems to me, what "fulfills" desire is the anticipation of getting more of the thing one already has some of. The will to cognition as a desire to be with something itself is like this, I believe. What fulfills the anticipations that generate and sustain the sense of being with something itself is the arousal of new anticipations of perceiving more of the thing. Thus it is not what Bonjour calls the representational content (or what in Husserl's language is called the *Sinn*) of a perception, nor is it, as some have held, the sensory content of perception that gives to perception its capacity to be a source of justification. Husserl's concept of the

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[5] Edmund Husserl, *Cartesian Meditations*, tr. Dorion Cairns (The Hague: Martinus Nijhoff, 1960), p. 61. This work will subsequently be referred to in the body of the text as "CM."

"given" is quite different from the one that has been the subject of criticism both among those philosophers writing in the Anglo-American "analytic" tradition, as does Bonjour, and those in the "Continental" (Continental European) tradition, as does Derrida, for example. It is interesting that Derrida's "critique" of Husserl on this point in *Speech and Phenomena* (*La Voix et la Phénomène*) completely overlooks the role of future consciousness, particularly protention, in Husserl's theory of time-consciousness. Developing the phenomenological analysis of this role can lead to a reconstruction of the significance of intuition for knowledge, I believe.

The Worldhood of the World and the Worldly Character of Objects in Husserl

Roberto J. Walton

Edmund Husserl observes that "the task of a systematic analysis and description" of the world is "a major and difficult problem."[1] As his inquiry develops it spells out, without endangering the coherency of his account, six characterizations that can be grouped into three pairs each with its own distinctive feature. The first pair turns on uniqueness and concerns the world as the *universal horizon* and its thematization in a *world-representation*. The second pair highlights the essential unity of the world and depicts it as a *totality* connected by a *form*. The third pair focuses on the temporal structure of horizonality and shows the world both as a *ground* that is the outcome of past experiences and sustains present modalizations, and as an *idea* that is open for future world-experience. As these characterizations are developed, I shall attempt in the first section of this essay to show how these pairs may be thought to relate to the distinction that Heidegger introduced in *Being and Time* between the worldhood (*Weltlichkeit*) of the world, which is still disclosed in spite of the insignificance of innerworldly beings, and the worldly character (*Weltmäßigkeit*) of the surrounding world, which makes itself known in these entities within-the-world. In Section 2, I develop another view

[1] Edmund Husserl, *Die Krisis der europäischen Wissenschaften und die transzendentale Phänomenologie. Ergänzungsband. Texte aus dem Nachlass 1934–1937*, ed. Reinhold N. Smid, Husserliana XXIX (Dordrecht/Boston/London: Kluwer Academic Publishers, 1993), 426. Henceforth cited as '*Hua* XXIX' with page reference.

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on this Heideggerian distinction by showing analogies in the way in which both phenomenologists move forward from the discovery of innerworldly beings to the disclosure of the world.[2]

1   Characterizations of the World

1.1   *Universal Horizon and World-Representation*

To begin with, the world must be described as a universal horizon. The unfolding of horizons goes hand in hand with the disclosure of a world that is permanently subject to modification and nevertheless remains at the same time as a unique world in a nonthematic manner throughout the experience of objects: "To explicate systematically the horizon-structure is to explicate the intentionality in which the world is constituted."[3] Husserl describes an interpenetration and togetherness of horizons, and a reference from preceding horizons to subsequent horizons. If the references pertaining to outer horizons are followed, and an advance is made to further and further horizons, the world as universal horizon will be finally disclosed. This nexus of references means that the experience of the world can only take place as a "final accomplishment" (*Endleistung*) or "total accomplishment" (*Totalleistung*) in the unity of an encompassing survey after a series of previous steps: "Advancing from the surroundings to the surroundings of the surroundings, and so over and over again, we arrive finally at the whole world" (*Hua* XXXIX, 362).[4] There are two key points to note in this passage. First, Husserl states that there is a sequence of levels in the process of making the world manifest. Second, he asserts that there is a final performance. Leaving the former point for the second section, I will first focus on the latter.

It should not be overlooked that the world is pregiven through a world-apperception that continually goes through our experiencing life before we turn our thematic

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[2]My interest in horizonality and the nature of marginal consciousness owes much to Lester Embree's edition of Aron Gurwitsch's *Marginal Consciousness* (Athens, OH/London: Ohio University Press, 1985). In the closing passage of his noteworthy "Editor's Preface," we read: "[…] methodologically speaking, if one wishes to comprehend this doctrine correctly and thus be able to verify, correct, refine, and extend it, one must start by taking a reflective attitude and be prepared, with Aron Gurwitsch, to reflect above all noematically" (xlii). Having followed this guideline in "On the Manifold Senses of Horizonedness. The Theories of E. Husserl and A. Gurwitsch" (*Husserl Studies*, 19 [2003]: 1–24), I attempt in this article to shed light on marginal consciousness as the consciousness both of an underlying ground and an undifferentiated domain by considering its relationship with innerworldly objects.

[3]Edmund Husserl, *Die Lebenswelt. Auslegungen der vorgegebenen Welt und ihrer Konstitution. Texte aus dem Nachlass*, ed. Rochus Sowa, Husserliana XXXIX (Dordrecht: Springer, 2008), 129. Henceforth cited as '*Hua* XXXIX' with page reference.

[4]See Edmund Husserl, *Späte texte über die Zeitkonstitution (1929–1934). Die C-Manuskripte*, ed. Dieter Lohmar, Husserliana-Materialien VIII (Dordrecht: Springer, 2006), 4. Henceforth cited as '*HuaM* VIII' with page reference.

gaze to objects or to the world in its universality. As this world-apperception turns into a thematic intention, the world is always experienced in a twofold manner. It is both "pregiven" as an apperceived world, i.e., as an infinite and unthematic horizon, and it is given thematically through the mediation of particular and changing intuitive objects that are given as its sides, aspects, or presentations (*Hua* XXXIX, 42 f.). Calling attention to the mediation of objects in the systematic explication, Husserl can claim that the world is "the universal object (*Gegenstand*) of a universally extended and extendable experience."[5] Nevertheless, since the universal horizon always remains implicit, he can also assert that the world "does not exist as an entity, as an object (*Objekt*), but exists with such uniqueness (*Einzigkeit*) that the plural makes no sense when applied to it."[6] Even if it does not exist as an object, and transcends the thematization of particular objects, the world can be subject to a thematic apprehension by means of an objectifying identification. This amounts to the construction, with the varying resources afforded by the surrounding world, of a world-representation that entails both a "project" (*Entwurf*) for our practical possibilities because it outlines in advance a play-space (*Spielraum*) for them, and a "primal configuration" (*Urgestalt*) for our knowledge of the world because it functions as the foundation for the building of higher-order theoretical representations. According to Husserl, the relationship between world-representations and the world as a universal horizon is similar to the relationship between the profiles of an object and the object itself. It is clear that the plurality of world-representations stands out against and presupposes a unique world-horizon. Husserl connects both characterizations when he refers to the possibility of "making clear for myself the bare 'horizon-consciousness' of the world […], making it distinct through an explicit world-representation, and eventually in the mode of an intuitive one" (*Hua* XXXIX, 73). It is this world-representation made explicit and also clarified that gives us a sense of the world: "The word 'world' has its linguistic meaning only because what this representation makes clear intuitively is brought to an expression" (*Hua* XXXIX, 76).

Whereas the world-horizon does not have the manner of being of objects, the world-representation is not only the result of an objectification and identification, but is built up out of them and hence is tied to the different environments that stand out against the universal horizon. Husserl contends that the world-representation is not a new representation that adds itself to other objectifying intentions but rather

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[5]Edmund Husserl, *Phänomenologische Psychologie. Vorlesungen Sommersemester 1925*, ed. Walter Biemel, Husserliana IX (Den Haag: Martinus Nijhoff, 1968), 95. Henceforth cited as '*Hua* IX' with page reference.

[6]Edmund Husserl, *Die Krisis der europäischen Wissenschaften und die transzendentale Phänomenologie. Eine Einleitung in die phänomenologische Philosophie*, ed. Walter Biemel (Haag: Martinus Nijhoff, 1962), 146; English translation: *The Crisis of European Sciences and Transcendental Phenomenology. An Introduction to Phenomenological Philosophy*, trans. David Carr (Evanston: Northwestern University Press, 1970), 143. Henceforth cited as '*Hua* VI' with German and English page references respectively.

"a universal motion and synthesis" (*Hua* XXIX, 268) that draws them all together. This means that world-representations are based on the experience of particular objects of surrounding worlds and their horizons, although they are not limited in their range and scope to the more immediate surrounding conditions. In other words, the life-world that functions as a ground renders possible alternative pathways leading to different world-representations according to the various interests and goals encompassed by it. In sum: whereas the universal horizon accurately portrays the worldhood of the world in Heidegger's sense that sets it against its particular contents, a world-representation is tied to the worldly character of objects and the surrounding world because it is built up out of them.

The characterization as a universal horizon leaves open the question of whether and in what sense the world can be described without remaining within the limits of a world-representation. The answer is that the universal horizon can also be seen as a totality, projected as an idea, and considered as a primal ground. Let us examine each of these characterizations in turn.

1.2   Totality and World-Form

Husserl refers to the experience of the world as a total experience, a total performance, a universal apperception or a universal intending. Correlatively, he describes the world as a whole, a total phenomenon, a total environment, a total something, or "the horizon of the totality 'world,' which is nothing other than the totality, the allness of realities" (*Hua* XXXIX, 67). In order to avoid the impression that the world is limited to a marginal horizon as the final term of explication, which might be suggested by the characterization as universal horizon, this new depiction stresses the enclosure of all objects and horizons that have been exceeded. Thus, the world encloses not only what has not been objectified and cannot be objectified, but also the sum total of objects encompassed within the universal horizon. Furthermore, Husserl also remarks that "the world is not merely an allness (*Allheit*) but an all-encompassing unity (*Alleinheit*), a *whole* (even though infinite)" (*Hua* VI, 29/31). This means that the inquiry must follow a twofold orientation directed both to the whole and to the world-form that explains why there is unity in allness. To understand how "the universal whole, the world-all, has a universal form" (*Hua* IX, 67), the link between both notions must be examined.

Matter and form can be distinguished in a whole composed of parts. Whereas the entirety of its parts make up the matter, the form is their mode of relationship. These two pairs of notions overlap, but must be distinguished because different wholes can have the same parts with different binding forms of unity or different parts with the same binding form. The form is obtained by abstraction from the particularity of the parts because it is something general that is not tied to the specific character of the matter, and so allows a variation in the determination of the parts that are unified by it. As he shows how parts are related in a whole by virtue of a form, Husserl asserts that the whole is not to be identified with the

entirety of parts nor with the sum of the entirety of parts and the whole, but rather with "the ensemble of parts in this form."[7] The world-form is "the general structure of connection" that "has properties of unity that are not themselves properties of the parts but rather of the whole," and hence it "stamps on each part and on each one of the most particular members of the world a correlative form, precisely that of part of a whole of such a form" (*Hua* IX, 67). Time, space, and causality are structures in this universal form that stamp duration, extension, and causal properties on objects.

As against the interpenetration (*Ineinander*) entailed by the horizon-structure of the world, the world-form brings forth separation and connection. Space and time introduce a mutual externality or outside-one-another (*Aussereinander*) of objects that allows for their individuation according to the temporal and spatial positions they take up (*Hua* XXXIX, 127). In addition, causality entails a stronger mode of connection than this binding through spatiotemporality. This strict connection is not added subsequently to what exists in isolation, but rather shows that plurality precedes singularity within a relationship of belonging-together by which the alteration of an object is the consequence of alterations in other objects. Thus, contrary to spatiotemporality, causality is not a "form of distribution," but rather a "connecting form" that brings forth "a universal relatedness one-to-another in action and passion" (*Hua* IX, 68).

Here again we have a pair in which one member must be associated with the worldhood of the world and the other with the worldly character of objects and the surrounding world. As regards the world conceived as a totality, Husserl stresses the particular condition of this notion. Although we envisage the world as a whole in which the singular objects are included as parts, we cannot consider it as a real whole in the sense of a given collection of objects. For the world is "the uppermost whole" (*Hua* XXIX, 296) that must be referred back to a totality of subjects for which it is a "field of possible life" (*Hua* IX, 384). With this referring the world back to transcendental subjectivity, the concepts of whole and part "alter their sense in a fundamental and essential mode" (*Hua* XXXIX, 434). Whereas the world as a totality cannot be objectified, the world-form is an "absolute objectivity" (*Hua* IX, 499) mainly for two reasons that concern its constitution and its function. First, it differentiates itself as an objective form, without detaching itself, from primal forms pertaining to the subjective flow in which temporal and spatial objects are given. The passage of the flow of experience to a non-flowing form requires a series of steps in a process in which, by the nesting and linking of horizons one in another, and the identification of those that overlap, a fixed order is constituted through abstraction as a form that is common to all objects. Second, time and space are forms of succession and coexistence that manifest themselves through the causal connection of objects with each other.

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[7]Edmund Husserl, *Logische Untersuchungen. Zweiter Band. Zweiter Teil. Untersuchungen zur Phänomenologie und Theorie der Erkenntnis*, Husserliana XIX/2, ed. Ursula Panzer (The Hague/Boston/Lancaster: Kluwer Academic Publishers, 1984), 841.

Husserl states that they have the character of "a unity-form of an allness, which is a form of concretion, not as an empty allness but as an allness of objects of a peculiar essential content."[8]

1.3   Idea and Ground

A third pair of characterizations is linked to the development and harmony of world-experience in time. With respect to the future, the world-horizon shows an open indeterminateness. As we unfold open horizons according to the *immer wieder* of explication, we become aware of the possibility of an unending process. Husserl observes that "the idea of the infinite world is built as a correlate of the ideal possibility of infinite experiences, […]" (Ms A VII 21, 6a).[9] Thus, he can assert that the world-idea "has its sense-origin in the horizonality of the life-world […]," and goes on to say that we come to see it "in the course of constantly changing finite things as an infinitely distant pole" (*Hua* VI, 499 ff.). The idea is concealed in our experience and is disclosed by a reflexive consciousness turned to the indefinitely repeated unfolding of the world. Reflection discovers an orientation toward the complete givenness of the world, and, on the basis of this direction to fullness, extrapolates the goal to which the process advances. As an infinite and unattainable pole, the idea is motivated by the harmonious fulfillment of all partial anticipations, and by the continuous increase in the grade of perfection toward a limit that cannot be intuitively given. Since the unraveling of intentional implications is not performed in an arbitrary manner, the notion of idea brings out a teleological movement in world-experience, one which was only implicit in the characterizations as universal horizon and totality.

The world-horizon is not only the origin of the world-idea, but also becomes a ground (*Boden*) in several senses. With regard to our present world-experience, a twofold ground can be discerned. First, as we shall see in more detail later, it is a ground in the sense of a nonobjective margin out of which objects can be made distinct and clarified. Husserl states that world-consciousness is not a case of being affected or being intentionally directed to an object because it is presupposed by both modes of consciousness, and hence the world is the "constant ground" (Ms A VII 5, 3b) from which all affections arise and to which all objectifying intentions are aimed. Second, the world-horizon sustains modalization because it renders possible the maintenance of the place occupied by an object after the cancellation of its validity so that it may be filled up again with a new object. This implies a relation of foundation that is radically different from the type of foundation that occurs between objects.

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[8]Edmund Husserl, *Zur Phänomenologie der Intersubjektivität. Texte aus dem Nachlass. Dritter Teil: 1929–1935*, ed. Iso Kern, Husserliana XV (Den Haag: Martinus Nijhoff, 1973), 340. Henceforth cited as '*Hua* XV' with page reference.

[9]I wish to thank Prof. Dr. Rudolf Bernet, Director of the Husserl Archives in Leuven, for permission to quote from Husserl's unpublished writings.

For, one of the moments of the relation is not an object and the other is an object that ceases-to-be or an object that comes-to-be.[10] That the world is not modalizable is the reason why it must be considered as an "apodictic ground for all modalizations" (*Hua* XXXIX, 128). It is not difficult to make the conceptual connection between the two senses. They both make up an underlying-marginal horizon that remains despite changes of objects and alterations within them and is the presupposition for objectification. In both sides of the world-horizon we face the world as the other of an object. This means that the world-horizon must be referred back exclusively to the transcendental life that sustains it. Yet this does not mean that that it must be referred genetically to a subjective history because it falls outside the pregivenness of the world. Hence the distinction between a constant and a changing ground.

The world is a ground by virtue not only of its link to any present object, but also of its connection with the past experience of objects. Along with world-experience as a flow of intentional acts in the actual moment, there is a world-possession that unfolds "as an acquisition, as a familiar ground for every experience" (Ms A VII 20, 9b). The world is pregiven with a degree of familiarity that also contributes to the harmony of world-experience by organizing it according to a typical generality in a horizon of anticipation. Husserl speaks of "the totality of typification (*Totalitätstypik*) belonging to the total horizon of the world in its infinity,"[11] and he stresses that this horizon of acquaintedness changes continually. In contrast to this familiar ground that emerges as a sedimentation of experience, the underlying-marginal ground can be seen as a "primal ground" (*Urboden*) (Ms A VII 20, 27a).

As regards the worldhood of the world and the worldly character of the surrounding world and of objects, the world-idea contributes exclusively to the characterization of the world as such insofar as it is an unreachable pole that goes beyond experience. The world as a total idea is an intentional unity of a higher order, i.e., an "infinitude of higher level" (Ms A VI 34, 14b) that encompasses and surpasses all the infinitudes of singular things. But with the world as ground we face a situation that is more complex because it has something to say on both worldhood and the worldly character of objects. The first sense of ground, referred to the present, surpasses objects. This pure worldhood of ground, devoid of the features that belong to objects, concerns ground as a potentiality for objectifying intentions and as a basis for modalization. We must recall that the relation of foundation between the world as ground and the locus abandoned or taken up by an object does not have an object in its grounding side and shows a combination of being and nonbeing in the grounded side. Thus, Husserl also characterizes the world as an "absolute substrate" or "substrate of all substrates" as distinguished from the "existence-in" (*Inexistenz*) that is proper to singular objects. The independence of objects has a

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[10]See Eugen Fink, *VI. Cartesianische Meditation. Teil 2: Ergänzungsband*, ed. Guy Van Kerckhoven, *Husserliana Dokumente* II, vol. 2 (Dordrecht: Kluwer, 1988), 90 ff.

[11]Edmund Husserl, *Erfahrung und Urteil. Untersuchungen zur Genealogie der Logik* (Hamburg: Claassen, 1964), 33; English translation: *Experience and Judgment. Investigations in a Genealogy of Logic*, trans. James S. Churchill and Karl Ameriks (Evanston, IL: Northwestern University Press, 1973), 36. Henceforth cited as '*EU*' with German and English page references respectively.

limit because they have the character of "being-in-something" (*In-etwas-sein*), whereas the world is the total-something (*Alletwas*) that includes all things. Everything depends on the world, which does not need a further ground even if we take transcendental subjectivity into consideration: "The world alone is independent, it does not subsist as a finite substrate does, namely, in relation to circumstances exterior to itself" (*Hua* XV, 524; *EU*, 157 f./138). Again, because world-experience, in contrast to the experience of objects, always confirms itself insofar as all discordances are resolved into a higher harmony, Husserl argues that "the dignity of world-experience […] has an incomparably higher dignity in evidence than that of the experience of single objects" (*Hua* XXXIX, 236). Yet as the familiar basis of meaning and validity, ground is referred back to the experience of objects and hence contributes to determine their worldly character.

This section has attempted to show that we can use Heidegger's notions to describe two distinct sides in Husserl's modes of thematizing the world.[12] The contrasts I have drawn between the two members of the pairs of characterizations correspond to the contrast that can be drawn between the worldly character of objects and the worldhood of the world. On the one hand, a world-representation, the world-form, and a familiar ground presuppose the experience of objects in order that they may respectively be built up, identified, and acquired. They cannot be detached from this mediation because they are object-dependent with regard to their particular content. Thus, by worldly character of objects in a Husserlian sense, I mean their insertion not only into horizons, but also into a world-representation, in the world-form, and in a totality of typification, so that they become pervaded with characters that they themselves contribute to constitute. On the other hand, the universal horizon, the uttermost whole, the ground as absolute substrate, and the idea as unattainable pole break the grip or hold that objects exercise over us. One may argue that they make up, as a surplus with regard to them, a nonobjectifiable background that can be considered as the world in its worldhood in a Husserlian sense that is also undistorted by the particularity of innerworldly objects because it can be unfolded without regard to the variability of their functions, i.e., irrespective of whether they are understood as components of a representation, intermediate steps to a form, or starting points for a sedimentation. Hence it could be claimed that the two approaches differ insofar as the former stresses characterizations that restrain worldhood to the context of given objects, whereas the latter suggests that worldhood is ultimately unrestrained or unaffected by their nature. The important point about the polarity we have examined is, therefore, that one series of characterizations is induced by the

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[12]Steven Galt Crowell highlights "the Husserlian infrastructure" of Heidegger's work, and contends that "the 'parting of the ways' between the two phenomenologists makes better sense as an immanent criticism of Husserl's transcendental program rather than as a wholesale revision. It then becomes possible to project a significant rapprochement between Husserl and Heidegger, one that leaves neither totally unrevised" (*Husserl, Heidegger, and the Space of Meaning. Paths Towards Transcendental Phenomenology* (Evanston, IL: Northwestern University Press, 2001), 4, 181.

stratum of end-products of transcendental life, whereas the other is associated with the potential field of its constitutive processes, i.e., with "the all-encompassing unity (*die Alleinheit*) of ultimately functioning and accomplishing subjectivity" (Hua VI, 149/146).

2   The Disclosure of the World

2.1   *Referentiality, Involvement, Relationships, and Significance*

Drawing again on Heidegger's distinction, I attempt in what follows to bring out similarities with Husserl as regards the sequence of levels followed in the analysis of the world.[13] The first level concerns the discoveredness of the structure of reference, or involvement in something, of innerworldly beings along with the prior discoveredness of a totality of involvements (*Bewandtnisganzheit*) that makes manifest their worldly character: "As the Being of something-ready-to-hand, an involvement is itself discovered only on the basis of a prior discovery of a totality of involvements. So in any involvement that has been discovered (that is, in anything ready-to-hand which we encounter), what we have called the 'worldly character' of the ready-to-hand has been discovered beforehand."[14] Husserl also draws an explicit connection between a structure of reference and a relevant totality. Objects are in general systems of reference, the unfolding of which uncovers the world as universal horizon, and, in the particular case of objects endowed with practical characters, their functional determination or meaning must not be considered in isolation but rather as they appear within "the further systems of ends" (*Hua* IX, 114). In other words, dealing with functional objects also presupposes the prior

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[13]See Søren Overgaard, *Husserl and Heidegger on Being in the World*, Phaenomenologica 173 (Dordrecht/Boston/London: Kluwer Academic Publishers, 2004). Overgaard refers to "certain structural similarities between the two accounts" (126). First, the world is not conceived as a totality of entities, but as "a structure that allows entities to come forth" (127). Second, the world is given as a nonthematic background, i.e., as something that normally does not announce itself. Third, both views start with the individual entity and show that through its "references to" alone can the world be understood, so there is an agreement in the "characterization of the world as a whole of reference" (128). Furthermore, Overgaard observes that transcendental subjectivity "is defined as the dative of manifestation of each and every object, as well as the world-horizon in which objects are manifested" (191). Hence, referring to the Husserlian and Heideggerian accounts of the world, he can state: "In both accounts, the world is a 'transcendental notion,' something that *allows* entities to manifest themselves" (203). The purpose of this paper is to show that further points of convergence can be outlined.

[14]Martin Heidegger, *Sein und Zeit* (Tübingen: Max Niemeyer, 10th ed., 1963), 85; English translation: *Being and Time*, trans. John Macquarrie & Edward Robinson (New York: HarperCollins, 1962), 118. Henceforth cited as '*SZ*' with German page reference and English page reference respectively. The published translation has been sometimes altered.

discovery of "an intrinsically practical context" or "a total meaning referred to a teleology," which Husserl identifies with Heidegger's "context of involvements" (*Bewandtnis-Zusammenhang*) (*Hua* IX, 409).[15]

Over against Heidegger, according to whom the worldly character of inner-worldly beings makes itself known through their conspicuousness, obtrusiveness, and obstinacy when there is a disturbance in their references and hence a breach in the referential totality, Husserl sets out to show the role of play, imitation or instruction, and self-critical acquisition of skills in the awareness of references. With regard to play, he writes:

> […] in contrast to *Heidegger*, it seems to me that an originary motive lies, for science and for art, in the necessity of play, and specially in the motivation of a playful 'theoretic curiosity,' i.e., a curiosity that does not spring from a vital necessity, from an occupation or a complex of ends tied to self-preservation, a curiosity that is willing to take a close look at things, to get to know them as things for which it has no concern. And no 'deficient' praxis should come in here. (*Hua* XXXIV, 260)

Accordingly, Husserl describes the surrounding world as a world of work and play, so that our acts arise from both sources and their objects can be differentiated in genuine equipment (*Ernst-zeuge*) and play-equipment (*Spiel-zeuge*). The reason for this is that the habitual interests that guide our deeds and sufferings in the surrounding world are also interests of play and curiosity (*Hua* XXXIX, 330, 346).

Another motivation for the awareness of references lies in imitation or instruction. Husserl characterizes this process as follows:

> A child is from the start surrounded by functional objects (*Zweckobjekte*); in the everyday use a child learns to understand them in their purposeful condition (*Zweckhaftigkeit*), and so, surrounded by fellow human beings that are active according to ends, learns also to understand their purposeful activity as such and to understand functional objects not only as objects of use, but also as objects that have come to be teleologically (primal history). (*Hua* XV, 420)

This is an aspect of the referential totality that Heidegger has overlooked, i.e., the referring back to a past history in which it has been constituted.[16] Furthermore,

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[15]According to Stephan Strasser; Heidegger development of the concept of the world on the basis of totalities of involvements "must be envisaged as a further shaping and reshaping of Husserlian motives" ("Der Begriff der Welt in der phänomenologischen Philosophie," *Phänomenologische Forschungen* 3 (1976), 189). At this point Husserl's use of the German expression "*dabei hat es sein Bewenden*" can be recalled. He makes a distinction between independent actions in which everything falls under the unity of a final purpose, and actions in which the outcome is only a means of accomplishing a further goal. Hence in the latter the particular aiming at something "is dependent, the matter does not rest by its end (*es hat bei ihrem Ende nicht sein Bewenden*). In an intermediate situation the final purpose can go into the background so that "the matter also rests for a longtime by relative ends (*bei relativen Enden […] hat es auch für langhin sein Bewenden*) […]" (*Hua* XXXIX, 373 f.). For an analysis of the German expression, see *Being and Time*, 115, Translators' note 2.

[16]See Edmund Husserl, *Cartesianische Meditationen und Pariser Vorträge* (Haag: Martinus Nijhoff, 1963), 113; English translation: *Cartesian Meditations*, trans. Dorion Cairns (The Hague: Martinus Nijhoff, 1960). 79 f.

Husserl argues that human beings proceed in a rational manner and are critically responsible for goals and works. Even if following a practical impulse, an agent has "the sense of a capacity for critical responsibility." Human action is "self-understandable beforehand on the basis of a nonexplicit, hidden to him <the agent>, 'associative' aftereffect of previous and analogous actions on which we have deliberated and of which we are responsible" (*Hua* XXIX, 282). According to these statements, the discovery of reference in situations of disturbance is a derived situation that presupposes a genesis in the course of which one cannot contend that the references are not explicit. Heidegger's account deals with a final outcome that benefits from the consequences of previous actions in a learning process in which we have responsibly deliberated on referentiality in a way that differs from the kind of deliberation described by Heidegger because it entails critical consideration of our abilities. We have deliberated on them and exercised them up to the point in which a thematic consciousness of referentiality is no longer necessary. In this genesis, consciousness of references has to precede usage because it is what allows us to insert equipment into an equipmental context. Husserl states that a workman "gains the masterly capacity to do so over and over again, and this according to practical apperception as an intentionality that transfers itself in a typical manner" (*Hua* XXXIX, 358). On the basis of the development of this capacity, deficient praxis can become apparent in a subsequent situation in which the analogy with past learning is not enough to make current use of equipment possible.

A further level in Heidegger's analysis concerns the disclosure of the fundamental "relationships" (*Bezüge*) through which Dasein understands its being-in-the-world by displaying its references along them, and by being referred in and by them:

> [T]he understanding of a totality of involvements [...] is based upon a prior understanding of the relationships of the 'in-order-to,' the 'toward-which,' the 'toward-this,' and the 'for-the-sake-of.' The interconnection of these relationships has been exhibited earlier as 'significance' (*Bedeutsamkeit*). Their unity makes up what we call 'world.' (*SZ*, 364/415)[17]

A common ground between Husserl and Heidegger can be shown in the analysis of the relationships. First, the "in-order-to" (*Um-zu*) is the condition of serviceability, conduciveness, and so forth that equipment has. Considered from Husserl's viewpoint, this means that there is a "productive doing" that entails "the anticipation, the previous certainty of a work-path (*Arbeitsweg*) through which finally the aim would be accomplished" (*Hua* XXIX, 374). Second, the "toward-which" (*Wozu*) is the work to be produced by the tools. In Husserl's eyes, human action must be analyzed in terms of interests that have their "toward-which." Interests are habitualities that not only echo a sedimentation of past experience, but are also directed to aims that they attempt to achieve, and hence make up a "system of practical orientations" (*Hua* XXIX, 256). Third, as it anticipates the "toward-which," Dasein comes back

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[17]In Joan Stambaugh's English translation of *Sein und Zeit* (*Being and Time* (New York: State University of New York Press, 1996)), these relationships are characterized as "relations of in-order-to, what-for, for-that, and for-the-sake of which" (333).

to a "toward-this" (*Dazu*), i.e., the context of equipment as the available means for the production of the work. Husserl himself invokes this expression when he states that a tool "carries in itself a purposeful-meaning, the *toward-this*, its being determined and being appropriate for this" (*Hua* IX, 407).[18]

Deliberation and time play an important role in both accounts. According to Heidegger, circumspection entails a deliberation that throws light on Dasein's relationship with the surrounding world, presupposes a previous understanding of the context of references, follows the scheme "if-then," and hence approaches the resources that make up the "toward-this" if the "toward-which" is to be attained. In order to show the unity afforded by temporality, Heidegger stresses that the "toward-which" is grounded in the anticipation of a possibility, the "toward-this" on a retained past, and the "in-order-to" on a present deliberation that brings the resources for the attainment of the "toward-which" closer (*SZ*, 359/410 f.). Husserl also provides us with an analysis both of deliberation and its temporal implications. Deliberation is a mode of questioning that goes back and forth between the component members of a disjunction and weighs one against the other in order to decide what is more important. This decision is taken in a certain now that turns into the starting point of what is to be accomplished by our will, i.e., of a time-series that is fulfilled inasmuch as the task is completed. In the passage of one now to another, each moment of our will springs from the preceding moment not in the passive way in which a now springs from another in our inner consciousness of time, but rather by virtue of the effective enactment of a volition.[19]

However, the account of action resulting from the consideration of goals by the Husserlian subject must be sharply distinguished in one point from that of manipulating on the part of Dasein because the latter is absorbed in the equipment-world in such a way that thematization is set aside. In contrast to Heidegger, whose analysis stresses the forgetting itself of Dasein in the relationships pertaining to the totality of involvements (*SZ*, 354/405), Husserl highlights, in accordance with his positive appraisal of criticism, the explicit grasping of goals, ways of acting, and resources. The distinction between the "toward-which," the "in-order-to," and the "toward-this" is also set forth as follows: "Every praxis (acting) has a starting-point

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[18]Heidegger's example of the heavy hammer comes up in a manuscript from 1933 or 1934 in which Husserl formulates the contrast between the three moments concisely in terms of the kind of usefulness that this tool has for a given accomplishment by virtue of its qualities: "The functional form (*Zweckform*) of the hammer. The wooden handle.- Toward what? (*Wozu?*). And the heavy head of the hammer: its 'toward-this' (*Dazu*). Each in a particular familiar configuration, and as something correlative: to achieve 'something' in this way (not to achieve everything, but rather to drive nails into the wall, to hammer them into wooden boards, etc., or to strike uneven metal sheets, etc.). [...] This is a general fitness-to-an-end (*Zweckmäßigkeit*), for many ends a kind of means, a kind of usefulness" (*Hua* XXXIX, 325). Whereas driving nails into something is that "toward which" the hammer is referred, or what it is assigned for because of its usefulness "in order to" attain this end, its head is something ready-to-hand that, by virtue of its heaviness, is useful for that, i.e., appropriate for advancing "toward this" end.

[19]Edmund Husserl, *Vorlesungen über Ethik und Wertlehre 1908–1914*, ed. Ullrich Melle, Husserliana XXVIII (Dordrecht/Boston/London: Kluwer Academic Publishers, 1988), 109–122, 232.

in the pre-given world, and as a thematic horizon a way of action to the end-point" (*Hua XXXIX*, 369).[20]

Finally, the "for-the-sake-of-which" (*Um-willen*) is that to which the referential totality leads back, i.e., Dasein itself. From the analysis of the innerworldly beings as "referred to" one another, Heidegger goes on to examine "the context of Dasein's referring-itself (*Sichverweisen des Daseins*)" (*SZ*, 87/120). He moves from the structure of involvement to Dasein, because, as it understands the context of relations, Dasein refers itself to a structure that is none other than the worldhood of the world constituted by significance. For his part, Husserl speaks of the world as "an all-encompassing unity inseparable in its sense-relationships (*Sinnbezüge*),"[21] and develops a notion of significance as an axiological-practical concept that encompasses cultural behaviors and objects as well as the valuative and practical apperceptions out of which they emerge, i.e., a nexus of interests and goals. Objects of the surrounding world have meaning-predicates, and hence "refer (*verweisen*) in their sense itself to the known or unknown subjects, from whose personal acts these significances come" (*Hua* XV, 56). It is worth noting that, along with the analysis of relationships, Husserl speaks both of a "stratification" in the object insofar it can be considered according to a variety of interests and hence has different strata or dimensions of significance, and of an "articulation" of the world in terms of spheres of significance according to degrees of interest.[22] And he further draws a distinction

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[20]In a marginal note to Heidegger's characterization of letting-something-be-involved (*Bewendenlassen*) (SZ, 353/404), Husserl poses the question: "Is not this to set goals, to search for means, to make actual, and so forth?" ("Randbemerkungen Husserls zu Heideggers *Sein und Zeit* und *Kant und das Problem der Metaphysik*," Husserl Studies 11 (1994): 41).

[21]Edmund Husserl, *Aufsätze und Vorträge (1922–1937)*, ed. Thomas Nenon and Hans Rainer Sepp, Husserliana XXVII (Dordrecht/Boston/London: Kluwer Academic Publishers, 1989), 227.

[22]Comparing Husserl's and Heidegger's account of the world, Donn Welton stresses the "deep continuity between the methods as well as what is genuinely different in the content of their phenomenologies," and points out three differences. First, he argues that, for Heidegger, the movement between the ready-to-hand and the present-to-hand is not, as for Husserl, a vertical movement between a lower founding stratum and an upper grounded stratum, but rather a lateral movement in which both terms can be apprehended independently. Stratification has to do with this first objection, which could be countered by recalling that Husserl does not refer to a temporal sequence in which bare nature is there before a spiritual world, but rather to the possibility of an abstractive unbuilding of cultural predicates in order to attain a core of nature. See *HuaM* VIII, 402. Second, Welton believes that, for Husserl, the world is an object of experience and not a transcendental structure as for Kant and Heidegger. As regards the second point, it has been argued in this paper (1.1.) that the notion of world as object has a specific sense that does not undermine its condition of transcendental structure. See also Overgard's view mentioned in note 13. Third, horizons are, for Husserl, "nexuses of identificatory schemata," which means that identity is primary and difference derived, and, for Heidegger, "nexuses of differential schemata," which means that the identity of an object and its similarity with other objects depends on its place within a context of oppositions. Nevertheless, articulation entails the possibility of an expansion that proceeds not only by identification according to a predelineated style but also by integration of alien and different homeworlds in a higher-order homeworld (*Hua* XV, 226, 233, 430 ff.). This diminishes the force of the third objection. See Donn Welton, *The Other Husserl. The Horizons of Transcendental Phenomenology* (Bloomington: Indiana University Press, 2000), 367–370.

between (a) the inner surrounding world that corresponds to our everyday interests, (b) the outer life-world that is related to other life-interests beyond our daily concern, and (c) the outermost world horizon that remains alien to any life-interest and hence is a "nonpractical horizon" (*Hua* XV, 214, 232, 411). Husserl contends that our particular practical horizon "stands within the scope of the always horizonally co-intended world, but is different from this universal horizon" (*Hua* XXXIX, 372). A distinctive feature of the Husserlian treatment of these issues is that, along with the analysis of a determinateness arising from the familiar ground, there is an explicit consideration of indeterminateness and openness that renders possible, as we have seen, the extrapolation of ideal poles. By contrast, Heidegger highlights closure because he ties the notion of horizon to the literal meaning of the word.[23] The nexuses of significance belonging to the inner and outer life-world are in Husserl the counterpart of the relational totality that Heidegger calls significance. As we shall see, the outermost horizon points to insignificance.

But before turning in this direction, let us call attention to Husserl's emphasis on the determinateness and temporal constitution of significance. In another explicit reference to Heidegger, he writes: "*Comprehension of Being* is something completely empty as long as we do not recognize it as self-apperception and apperception of something alien, as world-apperception in its momentary *determinate transcendental structure* […]" (*Hua* XXXIX, 490). For Husserl, as we can see from this passage, the universal world-apperception, and the universal horizon pertaining to it, must be the subject matter first of a static analysis and then of a genetic analysis of their essential temporal development and changing style. Thus the following question is posed: "What is the benefit for a human being of having the mark of distinction of the comprehension of Being if demonstrably this comprehension of Being, the particular one at a time, is something that, as a matter of essential necessity, is the outcome of a development, and so also is Being-as-this-human-being?" (ibid.).

2.2   Insignificance and the World As Such

After introducing "the context of references, which as significance, is constitutive of worldhood" (*SZ*, 88/121), Heidegger turns to a deeper level when he states that anxiety – as a fundamental mode of finding oneself in a situation – is about nothing ready-to-hand or present-at-hand within the world, i.e., is not about innerworldly beings. The key lines to consider with regard to their irrelevancy are these:

> Here the totality of involvements of the ready-to-hand and the present-at-hand discovered
> within-the-world, is, as such, of no consequence; it collapses into itself; the world has the

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[23]See Martin Heidegger, *Prolegomena Zur Geschichte des Zeitbegriffs*, ed. Petra Jaeger, Gesamtausgabe 20 (Frankfurt am Main: Vittorio Klostermann, 1979), 252; and *Metaphysische Anfangsgründe der Logik im Ausgang von Leibniz*, ed. Klaus Held, Gesamtausgabe 26 (Frankfurt am Main: Vittorio Klostermann, 1978), 269. In this respect, see Lilian Alweiss, *The World Unclaimed. A Challenge to Heidegger's Critique of Husserl* (Athens, OH: Ohio University Press, 2003), 138 ff.

character of completely lacking significance. […] [I]nnerworldly beings in themselves are of so little importance in themselves that on the basis of this *insignificance* of what is innerworldly, the world in its worldhood is all that still obtrudes itself. (*SZ*, 186 f./231)

This distinction between significance and insignificance recalls Husserl's distinction between a practical horizon of everyday life-interests and non-everyday life-interests, on the one hand, and a non-practical undifferentiated horizon, on the other. As Husserl puts it: "The *surrounding world* separates itself from the world" (*Hua* XV, 214).[24] We must recall that Husserl distinguishes between a patent world and a latent world that encompasses a horizon of acquaintedness and a horizon of nonacquaintedness. Acquaintedness is made up by habitualities and interests that outline the sphere of significance. It amounts to a complex of objectifying intentions stemming from the familiar ground, i.e., the surrounding world that separates itself from the world. The important point is that latency allows for degrees of distinctness that fade out into a sphere of nonacquaintedness, i.e., an empty horizon in which nothing is intended: "World-experience is a total experience into which the momentary horizon enters with the momentary determinate 'predelineations' as prominent and, in respect to its content, relatively 'distinct' sense-compositions, and, beyond this, with the still empty horizonality" (*Hua* XXXIX, 186). This means that Husserl pushes the inquiry into the world to the point where, beyond horizons of empty objectifying intentions, there is only an undifferentiated horizon. With regard to this "'completely' undetermined empty horizon," Husserl holds that, even if emptiness cannot be explicated, "in the change of the undifferentiated co-intending into differentiating predelineation, it becomes capable of being explicated in the latter" (*Hua* XXXIX, 139).[25]

   Thus, the counterpart of anxiety and its reduction of innerworldly beings to irrelevancy is to be found not in the phenomenological reduction as has been claimed,[26] but rather in the vanishing of intentions within the reduced world. On the one hand, anxiety throws Dasein back upon the possibility of the ready-to-hand or present-at-hand in general, i.e., the world as world. On the other hand, transcendental subjectivity comes to know about the possibility of objects in general, i.e., the world as world, when objectifying intentions fall into undifferentiation. Just as anxiety deprives Dasein of the possibility of understanding itself in terms of the public way of interpreting the world, the vanishing of intentions undermines a self-awareness of transcendental subjectivity in terms of everyday or non-everyday life-interests.

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[24]However, this separation amounts to an abstraction: "All what I know about the world is precisely surrounding world; and, insofar as I know about it as a universum, the world purely and simple coincides with the surrounding world" (*Hua* XXXIX, 681).

[25]With regard to the inner horizon of objects, Husserl asserts that "the explicate is encompassed by a residual horizon (*Resthorizont*) of confusion" (EU, 140/125). This applies also to objectifying intentions in the outer horizon.

[26]See Jean-François Courtine, *Heidegger et la phénoménologie* (Paris: Vrin, 1990), 235; and Rudolf Bernet, *La vie du sujet. Recherches sur l'interprétation de Husserl dans la phénoménologie* (Paris: Presses Universitaires de France, 1994), 113.

Insignificance, in the sense of the loss of relevancy of innerworldly beings, appears for Husserl where objectifying intentions become lost in a domain of originary latency. This occurs not only in the world as the marginal horizon next to the clarified patent world and the differentiated latent world, but also, as noted earlier, in the world as the horizon of alternation of being and nonbeing under the thematic world, i.e., as the primal ground that maintains the locus where, after the cancellation of an objective intention, another objective intention attains validity. By way of the vanishing of objectifying intentions both in a marginal horizon, which is the ground of potentially differentiated intentional objectifications, and in an underlying horizon, which is the ground for the replacement of one by another, Husserl also comes to a situation in which the world alone calls attention to itself. The difference is that Husserl engages in what the analysis of anxiety sets aside, since for him "the world first gets thought of by deliberating about it, just by itself, without regard for innerworldly beings […]" (*SZ*, 187/232). A playful theoretical curiosity performs the role of anxiety: if the latter discloses to Dasein its being toward its ownmost potentiality of being, the former reveals a world of open possibilities to which transcendental subjectivity can turn. However, play does not disclose the world as world in an originary and direct manner, as anxiety does. Rather, the world is made known indirectly, in further stages of theoretical inquiry, because it is conceptualized as a universal horizon, a nonobjectifiable whole, an absolute ground, and an unattainable idea. These characterizations lay out a structure to which transcendental subjectivity refers itself as it surpasses innerworldly objects and turns to its field of possible life.

In this second section, I have tried to show that we can also use Heidegger's own differentiation between innerworldly beings, totality of involvements, significance, and insignificance in order to shed light on Husserl's disclosure of the world-horizon in terms of functional objects, systems of ends, significance, and an underlying-marginal horizon. Another point of interest in this context is that the world belongs essentially to transcendental life as living-in-the-world. Husserl explains his views on the "particular structure" of the total world-experience in the following way: "As a totality, it is in constant confirmation, insofar as it carries in itself the evidence that singular discordances can be settled, and so the whole becomes totally harmonious" (*Hua* XXXIX, 186). A marginal horizon devoid of objectifying intentions entails the absolute character of the apodicticity of world-experience. Husserl asserts that "the permanent and permanently presumptive experience, in which the world as a totality of being is given, has apodicticity" (Ms A VI 34, 15 b). Nevertheless, he makes clear that the certainty of the being of the world can only be obtained as a "peculiar unquestionable apodicticity" in the sense of an "apodicticity of anticipation" or "empirical apodicticity," which is not absolute in the sense of the inconceivability of nonbeing (*Hua* XV, 454, 658 f.). My claim is that the nonmotivated possibility of nonbeing should be considered along with the articulation of the world-horizon with its empty and undifferentiated margin. The former allows for a relative apodicticity, whereas the latter precludes cancellation beforehand. When they are brought together, they provide a new basis for the consideration of the essential character of our world-certainty. As frustration and conflict are only possible in the sphere of objectifying

intentions, the empty and undifferentiated marginal horizon allows for the experience of a unique world, i.e., warrants ultimate coherence in world-experience. In short, if we focus on the margin or the primal ground in which ruptures in the harmony of experience are impossible, it is easy to see that nonmotivation of nonbeing turns into inconceivability, and Husserl's *In-der-Welt-leben* becomes so unquestionable as Heidegger's *In-der-Welt-sein.*

Thinking of Difference and Otherness from a Husserlian Perspective

Rosemary R.P. Lerner

1 Pluralism and Intersubjectivity

Nowadays one tends to approach the issue of "pluralism" almost exclusively as a phenomenon that affects human beings' social dimension and the multifarious ethical, political, and cultural challenges that the era of globalization lays at the door of human communities all over the world. Nevertheless, the deep structural problems that are here at play are rational dilemmas upon which humanity has reflected since the dawn of Greek philosophy. We refer to two of them: on the one side, the relationship between unity and multiplicity; and, on the other, between "sameness" and "otherness," namely, between "identity" and "difference." These conceptual problems are so crucial that without their recognition, the possibility itself of theoretical thought, practical rules, and ethical or esthetical valuation would collapse. Yet without multiplicity unity is in need of an *explicandum*, and without unity multiplicity lacks determination. Ontological, theological, epistemological, axiological, and practical interrogations have kept themselves in suspense for more than twenty-two centuries at the brink of these problems.

On this occasion I will reconsider this ancient tension on a less abstract level. I will approach it instead at a human social dimension in order to shed some light on the conditions upon which the understanding among different peoples takes place. The phenomenological tradition not only has not been unfamiliar with this discussion, but has also contributed to it for more than a century with a philosophical concept recognized in the different domains of science and culture: *intersubjectivity*.

In this occasion I propose to lay down some problems on "difference" and "otherness" from the perspective of Husserl's theory of intersubjectivity. However, I do not adopt the point of view of the more developed theories on empathy expounded

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in the Fifth Cartesian Meditation,[1] which has been criticized for supposedly being unable to overcome the "methodological solipsism" of its starting point. I will rather address the Husserlian foundation of cultural and social intersubjectivity, namely, the higher problems of intermonadic community. First I will review Husserl's concept of "monad" as the premise of his intersubjective or monadological theory, and briefly describe the transcendental articulation of the three intersubjective strata: the pre-reflective or impulsive, the reflective and/or worldly, and the social. I thus deal with the Husserlian approach to the active and higher social intersubjectivity against the background of the passive, primary intersubjective intentionality (pre-reflective, instinctive, associative, affective and bodily) whence it is constituted.[2] Once this is laid out, I will propose what could be Husserl's own solution to the dilemmas on the dialectics of "unity" *versus* "multiplicity," and "identity" *versus* "difference" under the categories in tension of the "universal-objective" *versus* the "particular-relative," and "ownness" *versus* the "alien," or "sameness" *versus* "otherness." I will thereby rely on one of his posthumous texts entitled "Familiar World, Alien World, and 'the' World." Finally, I will refer, with Waldenfels, not so much to the opposite terms in tension but rather to the "domain-in-between" ("*das Zwischenbereichs*"), or what I call the *inter-esse.*

2 Intersubjective Theory as Monadology

2.1 The Concrete Ego or Monad

Who is Husserl's "transcendental *ego*?" Contrary to certain popular interpretations during the twentieth century, Husserl conceives it from the outset as *intersubjectivity*, precisely because the methodological "reduction" opens up a privileged domain of intentional experience[3] that bestows sense and validity, thanks to which subjects self-transcend themselves in their encounter with the world. But intersubjectivity presupposes a certain understanding of transcendental subjects as intentionally interconnected. Indeed, the transcendental subject is not only the active I-pole of theoretical, practical, and evaluative position-takings, or the passive center of affections,[4] but the permanent and inseparable substrate of a continuous flux of actual and possible lived-experiences.[5] But it is more than that: it is a *personal* subject, for

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[1]See *Hua I*, 121–177.

[2]The developments in this intersubjective stratum remained mostly unedited and were posthumously published in the *Husserliana* volumes dedicated to intersubjectivity, especially *Hua XV.* However, §61 of the *Cartesian Meditations*, mostly unattended, gives relevant indications of these transcendental constitutive analyses of the "primary and most basic level," that of the individual psycho-physical coming into the world, as well as the "biologic" and "psychological" phylo-genetic development (*Hua I*, 168–169).

[3]See note 1.

[4]*Hua I*, §31; *Hua XIV*, 26–30 *passim*.

[5]*Hua I*, §30.

even if its life and experiences flow irretrievably, they abide in it as a permanent acquisition or habit. "I, as a person, am not a momentary act's component '*ego*,' but *the* I, who has carried out all of his previous acts."[6] The personal I abides as time flows with its convictions that may change as it also undergoes change within a certain "*stable* and *abiding*" style, namely, a "*personal character*." It is thus the freely motivated *individual* who is not wholly predictable.[7] Now, beyond its centralized and personal character, and its abiding properties or "habitualities," and grasping it in its full concretion, Husserl denominates the "I" "monad." He takes the term, not without reason, from Leibniz,[8] since components of the "I" are also here the *intentional correlates* of its lived-experiences and position-takings, namely, in general terms, its known, familiar, *surrounding world*, surrounded itself by an *alien* worldly horizon of still unknown objects.[9] Such a surrounding world, however, is not only composed of natural and cultural "things," "but also of other subjects," that as "moral persons," "subjects of rights"[10] are essentially and intentionally interlaced in the I's concrete constitution. From this point of view, for example, immigrants or displaced individuals and communities understood as monads or concrete subjects have not only lost a worldly-familiar horizon while they are still the same, but a component of their personal integrity has been wrenched away from them.

Thus the surprising upshot of this is that within the monadic member itself of an intersubjective community we do not merely encounter a field of "presence," "identity" or "sameness," i.e., the *solus ipse*, the "ownness" and the "unique." Besides the essentially temporal dimension of monadic life that in its lowest most primary strata may be described as "living standing-flowing present," there is already "absence," "difference" and "otherness" within "presence," "sameness" and "ownness."

2.2   Transcendental Articulation of the Three Intersubjective Strata

The Husserlian theory of intersubjectivity is a complex and multi-stratified conception, with only one of its aspects the one laid out in the Fifth Meditation that was left unedited and unfinished: namely, to solve the problem of what is to be understood by an *objective world.* The Fifth Meditation asserts indeed that only by the mediation of other *egos* may the notion of a commonly shared nature and of objective scientific and spiritual predicates belonging to a cultural world be secured.[11] But it does not propose, as has been frequently misinterpreted, the supposed deductive "exit" from an "immanent" and solipsistic *cogito* to a "transcendent" world with its *alter egos*

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[6]*Hua XIV*, 18 *passim.*

[7]Ibid., 21.

[8]Ibid., 14 *passim*; *Hua I*, §33.

[9]*Hua IV*, 230 ff., 262 ff., 372 ff., *passim.*

[10]Ibid., 236.

[11]*Hua I*, 124.

against the background of a naturalistic dualism. It does not attempt to answer the traditional objections laid against solipsism, but to elaborate a "*transcendental theory of the objective world*" on the basis of a stronger concept of *transcendence* understood as *evidence.* The objective world is not simply the ideal correlate of all of my explicit and implicit lived-experiences but the ideal correlate of *all* the explicit and implicit lived-experiences of *each and every* possible *ego* in general. Its question, a phenomenological one, thus starts by shedding light on the explicit and implicit intentional processes whereby the *sense* of the *alter ego* is *announced* and *verified* in each one of us (i.e., it is "constituted") as being there, as fully experiencing subjects.

To be sure, the Fifth Meditation is not only ambiguous due to the "methodological solipsism" adopted when proposing the other's constitution in relation to the problem of "objectivity," but also because its central strategy superimposes two processes that presuppose two different concepts: that of "primordial sphere" (*Primordinalsphäre*) and that of the "sphere of ownness" (*Eigenheitssphäre*).[12] The processes that correspond to both concepts, which Husserl clearly distinguished only a few months after concluding the Fifth Meditation,[13] are the reflective-static constitution of the *alter ego*'s sense and validity, and the primordial genetic-worldly constitution of the lived-experience of *empathy* itself. In the first process, that of the reflective-static constitution of the transcendental other,[14] whose context is the attempt to found knowledge philosophically,[15] one starts from the constituted objectivities – including the *alter ego* itself – in order to investigate retrospectively only the *primordial sphere* of the *lived-experiences* wherein the sense of these objectivities is announced or constituted. Among these experiences is the one that refers to another *ego*: namely, *empathy.* The process is eidetic and structural, abstracting from both constituted objectivities and the temporal flow of the living-present. In the second process, that of the genetic constitution of the worldly *alter ego*,[16] the attempt is made to describe the genesis or emergence of the lived-experience of empathy itself. Here, a methodological abstraction from all lived experiences and their correlates is performed in order to reach the most radical *sphere of ownness* of the monadic or concrete *ego*. Within this sphere (reduced to the mere perceptual field of the monad's surrounding nature at a primary – pre-cultural – level, including its own psycho-physical being) Husserl examines *how* the pre-reflective and associative processes that constitute empathy are "motivated" when the other's body, analogue to one's own, comes to the fore. They are not eidetic and static analyses, but reconstructive and genetic, constituting the "secret history" of what is considered from a merely static point of view.

However, the Fifth Meditation does not conclude with both processes, static and genetic, belonging to the most familiar stratum of Husserl's theory of intersubjectivity.

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[12]Bernet, Kern & Marbach (1989), 145–149.

[13]*Hua XV*, 50 ff.; Iribarne (1994), 52.

[14]*Hua I*, especially §§43–49. See also Iribarne [1994], 24.

[15]Ibid., 51.

[16]*Hua I*, especially §§49–58.

It also mentions – though in passing – other two strata: at a lower level, the genetic, pre-reflective and impulsive constitution of intersubjectivity, and, at a higher level, the static and genetic constitution of social and cultural intersubjectivity. Be it as it may, the Husserlian theory of intersubjectivity should be considered not only with the Fifth Meditation and posthumous texts in view,[17] but also as a multi-stratified theory whereby the strata are only intelligible in relation to each other.

To be sure, several interpretations of such a multi-stratified theory are possible, for Husserl was never able to systematize it. But we could approach it from two perspectives. In the first one, two types of analyses are recognizable: *reflective* and *pre-reflective.* Reflective analyses have in their turn two levels: a level of the *perceptual* constitution of the *alter ego* (the static constitution of the "transcendental other," and the genetic constitution of the "worldly other"), and a level of the constitution of the *social* or *cultural* intersubjectivity. The *pre-reflective* ones only include the genetic analyses of instinctive intersubjectivity. In the second perspective, three articulated strata of a unitary transcendental monadological theory are recognized: (1) "Monadological idealism" (corresponding to the former *reflective* analyses, static and genetic, of the *alter ego*'s perceptual constitution); (2) "Social monadology"; and (3) "*Pre-reflective* monadology."[18]

In the following we will not deal with "monadological idealism" that is predominant in the Fifth Meditation, but essentially with the social stratum, against the background of the instinctive stratum.

3   Instinct and Society

3.1   Instinctive Intersubjectivity

Phenomenology can only "retrospectively" and "reconstructively" shed light on this stratum of the subject's life that not only belongs to the *ego*'s origins or "transcendental birth" in the mother's womb, even before the biological birth, but also constitutes an abiding lower stratum of the adult *ego*'s life. At this level one can speak of "I" only in an ambiguous way, since there is properly no "differentiation" among monads, there being rather an intentional reciprocal implication among all, in the shared living-present of a certain "archean community."[19]

Thus, the constitution of intersubjectivity at a pre-reflective level is given in the context of a genetic reconstruction of the subject's instinctive life since its "birth" or "transcendental beginning," where the *individual* development of the organic body starts, namely, its biological and psychological *phylogenesis.* Besides a naturalistic and psychophysical approach to this process, according to phenomenology

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[17]Iribarne (1994), 28.

[18]Ibid., 181–196.

[19]*Hua XV*, 670.

it is possible to approach it as a *transcendental* phenomenon. Hence, the transcendental "birth" or "beginning" is already given in the unborn or pre-child (v*orkindlichen Monaden*, or *Urkind*)[20], since the unborn fetus "already has an oriented instinct," namely, pre-acquired experiences in the mother's womb – as perceptual horizons, sensorial data and fields, or higher habitualities.[21] Both at the unborn level as well as at the one of the newborn Husserl asserts that we can only speak of a *pre-I* as center of affections, sedimentation, primary association, and innate bodily and biophysical instincts. From the unborn *pre-I* to the newborn's one there is a process of self-temporalization that amounts to an increasing "individuation." By recon-struction, it is asserted that at the beginning of this process one may speak of *proto-facts* (*Urfakta*) that are not reducible to the purely instinctive life. Concretely, this has to do with the *factum* of the *ego*[22] and its primordial contact with the world, as well as the *factum* of history – the absolute sense of history, that as sedimented, precedes the birth of every factual *ego* under the form of tradition and culture. Hence, instincts and history are interwoven in a double sense: in the first place, the immanent development of each monad since its pre-natal tendencies all the way to reason and universal intersubjectivity, in a process characterized as *teleological*, is a *factum*. In the second place, the so-called "innate instincts," since the transcen-dental birth, *are already preceded* – at a bio-psychic level[23] – by *previous experi-ences* (such as habitualities, tendencies, drives, and inclinations) *inherited* from past generations through the parents.

Thus, the other's presence by means of this "historicity" of instincts properly precedes the pre-reflective constitution of intersubjectivity, whereby phenomenol-ogy distinguishes *two orientations*: on the one hand, the pre-reflective genesis of intersubjectivity at the most tender age (the paradigmatic case of which is the mother–child relationship); and, on the other, the pre-reflective genesis of intersub-jectivity at the deepest level of adulthood (whereby the paradigmatic case is the satisfaction of sexual impulses). Both orientations already presuppose the passive genesis of fields of sensations (as the scent of the mother's breasts in the most tender infancy), associated kinaesthesia (as the ones resulting from breast feeding), and other processes and sensible (*hyletic*) instincts of impulsive intentionality[24] and the primary time-consciousness.

In the case of the most tender infancy, besides only experiencing the present (with mere retentions and protentions such as the case of any animal), whereby the temporal localization of events and free recollection is impossible, the recognition of one's own body – originally undifferentiated from the other's body – is preceded by the "visual and tactile unity" represented by the mother's feeding body.[25]

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[20]Ibid., 595.

[21]Ibid., 605.

[22]Ibid., 385. The transcendental *ego* as *factum*, as Husserl points out, precedes the *eidos ego*.

[23]Ibid., 609.

[24]Ibid., 594.

[25]Ibid., 605.

To the visual fields of sensation are added acoustic perceptions associated to kin-aesthetic movements that lead the child to the gradual self-exploration of its own organic body with its "feeling-felt" (specially tactile) duplicity. An instinctive empathy thus emerges, a primary intersubjective connection of anonymously acting bodies.

This is also the case of the satisfaction of sexual drives. Husserl asserts that this line of reflection belongs to the context of the transcendental genesis of transcendental instincts and transcendental teleology. He considers that in the satisfaction of sexual impulses are found not two separate satisfactions, each one with its own "primordial sphere," but the unity of two of them, so that sexual satisfaction has the character of "one-in-the-other."[26] This pre-reflective constitution of intersubjectivity also presupposes the other human being's presence as "oriented towards a goal that stimulates and affects her."[27]

In the analyses of the instinctive constitution of intersubjectivity we are interested in highlighting a primary *otherness* and difference *within* the most absolute *sameness* and intimacy. This situation remains at the background of the constitution of social intersubjectivity.

3.2   Social Intersubjectivity

I previously suggested that the genetic-instinctive description in Husserl's theory of intersubjectivity has the peculiar structure of *presence* and *absence*, *symmetry* and *asymmetry*, *similarity* and *difference*. These are opposite traits, yet essentially unified, basic presuppositions of the *sui generis* Husserlian concept of "plurality."[28]

The first community is that of the "I" and the "other," who in its turn acquires *sense* and *validity* only through the "I"'s experiences. As community and plurality, the reciprocal "I–thou relationship" (*Ich-Du Beziehung*) implies the *real* (psychophysical) difference and separation among monads, but also their *intentional* – spiritual, "unreal," though not imaginary – correlation in the sphere of primordiality. This is the egological starting-point, the most difficult one, of the constitution of social intersubjectivity or of human communities, whereby individual members are reciprocally oriented towards each other,[29] actually and potentially, in the *open horizon*

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[26]Ibid., 594.

[27]Ibid., 593.

[28]Plurality understood as establishing itself in "social acts" and in "personal human communication" See *Hua I*, 159. Likewise, Hannah Arendt asserts that: "Human plurality, the basic condition of both action and speech, has the twofold character of equality and distinction. (…) In man, otherness, which he shares with everything that is, and distinctness, which he shares with everything alive, become uniqueness, and human plurality is the paradoxical plurality of unique beings" (Arendt [1958], 175–176).

[29]*Hua I*, 157–158.

of the unlimited spatial-temporal nature. Yet the *community*'s properly *human* character is formed by specific egological acts, *social acts*, whereby human *communication* is established,[30] the "I–thou relationship" being the most original.[31]

Social acts are not drives, nor natural acts of love (such as those of children for their parents), nor calculated acts, but acts whereby the priority is the "intention of *communication*."[32] They already presuppose the founding horizon of passive instinctive constitution that includes: (1) The understanding of our bodies as organs; (2) the understanding of our surrounding sensible world; and (3) the understanding of our daily, instinctive needs.[33] Furthermore, they have as condition of their realization the "wakeful being of the I" (*Wachsein des Ich*) and "linguistic understanding," even when speech is for Husserl only *one mode* among others of communicating. Thus the reciprocity of social acts becomes effective both in being perceptually oriented towards each other, looking each other in the eyes, being conscious of one another, touching each other spiritually,[34] and in direct speech such as greeting, talking, listening, answering, etc.[35] They are additionally characterized by responsibility, position-taking, and self-reflection, generating thus a "practical community of will"[36] that mends itself and changes in view of an unavailable future horizon (*nicht berechenbar*).[37]

Communication is thus the essence of social acts, although – as already indicated – it is not reduced to speech, since it may be established in the mere exchanging of glances between two people. Nonetheless, linguistic communication is essential in the communicative *praxis* of a practical human world "whose incomparably wider circle of experience significantly contains the experiences of men transmitted by language."[38] Furthermore, the "I–thou" communication motivates being aware of *egos* as *persons*.[39]

There are many types of communities that emerge from this "I–thou" communication: those of personal love,[40] ethical love,[41] instinctive care (*Fürsorge*), of spiritual and bodily health among members of a family and their sense of duty; those who share meals; the *sui generis* communities among actors or poets and their audiences, or among scientists and their colleagues; the community of *sympathy* and

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[30]Ibid., 159.

[31]*Hua XIV*, 167.

[32]Ibid., 166.

[33]*Hua XV*, 442 (footnote 1).

[34]*Hua XIV*, 211.

[35]*Hua XV*, 476.

[36]Ibid., 169–171.

[37]Ibid., 465, 469.

[38]Ibid., 225.

[39]Ibid., 170–171.

[40]Ibid., 172.

[41]Ibid., 174.

friendship; and that of social duties, among others.[42] But essentially, "social acts" are at the basis of "personalities of a higher order,"[43] whereby this concept is no "mere analogy."[44] This type of communities, such as "the unity of a state, a religion, a language, a literature, an art"[45] is the result of communicative acts, unilateral or reciprocal,[46] that carry their own "personality." They are properly conscious subjectivities, with their faculties (*Vermögen*), "character," "convictions," representations, valuations, decisions, "habitualities," their lived and historical time – with their continuous growth in permanent change, with their growing old, their own memories and collective tradition, their sedimented truth meanings, and even a certain "bodily" dimension. The analogy with individual persons is relevant here, since they also act as "zero" or "central" members of a larger intersubjective world. To be true, there is a limit to the analogy, for the "higher-order personalities" may include lesser communities and eventually be dissolved. Notwithstanding, their behavior regarding other communities is similar to that among individuals. They are also passively generated in a "communal genesis" (*Gemeinschaftsgenesis*)[47] that has the danger of uncritically retrieving the past, or of ideological extremisms typical of mass phenomena.[48] Briefly, higher-order personalities constitute their specific *cultural surrounding world*[49] through which they also reach the natural world. Furthermore, from that familiar horizon they are projected to the unknown horizon of other communities and alien cultural worlds. The concept of *world*, to be sure, previously emerges in the passive constitution of the own primordial sphere; but at each strata – from the lowest to the highest – each *cultural* world appears *oriented* from a worldly-familiar "center" towards a gradually more unknown horizonal periphery of cultures belonging to alien worlds, accessible by means of a certain "social empathy." This leads me to the next problem.

4   Between the Familiar World and the Alien World. May One Speak of "the" World?

The constitution of intersubjectivity from the perspective of Husserl's phenomenology shows in all of its strata two aspects in tension or, it could be said, dialectically interdependent. On one side, there is a "centralized," "own" (or primordial) subjective point of depart – from the sphere of the *pre-I* to the highest form of the

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[42]Ibid., 175–184.

[43]*Hua I*, 160.

[44]*Hua XIV*, 404.

[45]Ibid., 194.

[46]Ibid., 198.

[47]Ibid., 221.

[48]As is the case with the ideological poverty of Nazi political radicalism.

[49]*Hua I*, 160.

"pure I" or "primordial I," equally manifest in the null point of orientation which is our body – with a correlative "oriented constitution"[50] towards "otherness" and "difference" in general. This, at the level of intersubjectivity (pre-reflective or reflective), is manifest under the form of gradually wider "relative surrounding worlds" as concentric rings,[51] with the character of an open horizon. On the other hand, within the sphere of "ownness" or of "primordiality," of "presence" and "sameness," even at the most intimate level of instinct, "otherness" and "difference" become manifest – as in the "absent" temporal horizons of past and future; in the historicity of experiences, habitualities and tendencies inherited from past generations; and in the patency of the other's body (i.e., the mother) in fields of sensation previous to the apperception of one's own. "Identity" and "difference," the "same" and the "other," are inseparable evidences, from the primary constitution processes of every human experience to the highest forms of the rational productions of science and culture.

The preservation of both terms dialectically dependent of each other – "the same" *and* "the other," "identity" *and* "difference" – places us in the domain of *plurality*: the plurality of monads; of communities of communication, and of "personalities of a higher order" – such as the plurality of nations and correlatively of "familiar worlds," of *ethoi* and cultures – and the plurality of *epistemes.* Plurality manifests itself in the domain of facts. But to the supposed "normative force of facts" one may oppose "philosophical radicalism" and "rational necessity." A new question appears for the possibility of a *universal*, all-embracing, *unitary* measure – epistemic, rational, evaluative, ethical, and cultural. A new tension emerges among apparently antithetic terms: of unity *versus* multiplicity, and of universality *versus* particularity. The question is whether this is an unsolvable antithetic (whereby both extremes mutually annul each other); or an illegitimate generalization (as the upshot of the predominance of a particular point of view over others), or, finally, a case that may be approached as that of a "dialectics of interdependence."

Basing ourselves in certain reflections of contemporary phenomenologists who also draw from Husserl,[52] I will sketch out this examination in two steps: (1) Is it possible to experiment and recognize an "alien world" from the "familiar world"? How? (2) Is it possible to think in a *universal unity* – science, ethics, values or rights, supra-nationality or mere "humanity," or "the" world – and yet maintain the *plurality* of the *particular*?

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[50]Ibid., §§42–62. The following reflections, even if they do not follow Dieter Lohmar's argumentative order, have indeed been strongly suggested by his text "Zur Überwindung des heimweltlichen Ethos" (Lohmar [1993]).

[51]*Hua XV*, 429 ff.

[52]Here I essentially refer to the works of Edmund Husserl in *Hua VI*, *Hua XV* and *Hua XXIX*; Bernhard Waldenfels (1993, 2001); and Dieter Lohmar (1993).

4.1 First Step: From the Familiar World to Alien Worlds

With "familiar world" and "alien world" "Husserl wishes to describe essential, immanent structures that concern every concrete surrounding world and their presumed validities."[53]

The "familiar world" is immediately accessible, both cognitively and emotionally. In it we share the same gestures and language, we know "what" things are "for," "what ends" are pursued by people's actions,[54] we share the same customs (*ethoi*) and traditions, anticipate behaviors and the course of our perceptions.[55] Including the perceptual world itself (human beings, fields, woods) has its own spiritual coloring. The concrete anticipations of our daily experience, that may be continually fulfilled, are given under certain "normalizing" criteria or measures that allow us to identify the eventual deception in fulfillment as "eccentric" or "mad." As the domain of "proximity" and of the "we," the "familiar world" starts with the family and keeps extending in concentric rings to the community, the homeland, or the continent.[56] The "familiar surrounding world" is initially identified with *the* world itself, and this "closed humanity" with humanity *itself*.

Placing ourselves in the hypothetical situation of a "non-globalized" world, the "alien world" – from the viewpoint of the "familiar world" – appears as what is "distant," exterior to "us," not foreseeable in a concrete analogy. Not only every object, sign, or gesture appears different, but also everything appears as an "unknown totality." It has "other ends in life, other convictions of all types, other customs, other practical modes of behavior, other traditions,"[57] briefly, another culture and another "worldview." Even the "general analogy" – that at least anticipates in the "alien world" an equally perceptual surrounding world, of human beings, fields, woods, etc. – is shaken, for these same objects appear with a different "spiritual" or "cultural" sense.[58] Furthermore, the other's "alien world" appears "colored" by the prejudices of the own "familiar world." Not only is it excluded and discriminated, but undervalued – its evaluations, cognitions, rules "are not valid" in relation to those of the "familiar world." The "alien world" constitutes a threat to the concepts of *the* world and *one* humanity constituted from within the "familiar world."

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[53]See Lohmar (1993), 68. They concern the "validities" that are presupposed at the life-world as "neighboring world" (*Nahwelt*), "world of experience" (*Erfahrungswelt*), "personal world" (*personale Welt*), "cultural world" (*Kulturwelt*), "surrounding life-world" (*Lebensumwelt*), "daily world" (*Alltagswelt*), "co-world" (*Mitwelt*). See *Hua VI*, §34, and *Hua XV*, 142, 196–197, 200, 205, 214–215, 217, 229ff., 232, 411, 428.

[54]*Hua XV*, 220ff., 224ff., 430.

[55]Ibid., 430–431.

[56]I am thinking, i.e., in the international athletic competitions, among finalists, such as in soccer games, whereby the extension of the "familiar" or "communal world" to a continental level leads a Latin American to support any South American team against a European or Asian one.

[57]*Hua XV*, 214.

[58]Ibid., 432–433.

Experience and finally *recognition* of the "alien world" from the "familiar world" are rendered possible, according to Husserl, from the moment that the own "familiar world." expands itself analogically, by means of "anticipations" of "the unknown in the style of that which is known to us."[59] In other words, "there are pre-forms of the alien *within* daily experience."[60] Education, says Husserl, helps us gradually to overcome an initial incomprehensibility, such as when we learn to read, calculate, appreciate or play a musical piece, briefly, as in every learning process of arts or scientific and cultural disciplines.[61] It is the expansion of what is "familiar" to the less familiar within one's own "familiar world." And, as in this last case, the encounter with an "alien world" drags with it *simultaneously* a change of attitude regarding the own "familiar world." Without abandoning the latter's convictions, they cease to be exclusive. There exist, besides one's own, *other worldviews* with *their own validities*; the "alien world" is recognized as *another* "familiar world" with its own convictions. The "universal reach" that the validities of the "familiar world" seemed to have is suddenly *relative.* From this moment on, the familiar and the alien convictions – in spite of their non-coincidence – may be thought of side by side.[62] The possibility of different "worlds" and different "humanities" suddenly emerges.

4.2   Second Step: From the Plurality of Worlds to the One World

The next question is whether it is possible to pass from the *recognition* of a plurality of "worlds," "humanities," cultures, nations, ethics, etc. to the idea of *a* world, *a* humanity, *a* nation, *an* ethics, *a* science, and *a* rationality, "not tied to a familiar world."[63] The question is whether the constitution of *universality* is possible, such that without annihilating the possibility of a plurality of particular "familiar worlds," is it not constituted either as a mere projection of *a* dominant "familiar world." In Husserl we find two approaches to this problem that initially appear different, even antithetical. The first one is the one he sketches in his 1935 "Vienna Conference."[64] The second one is found in his 1931–1937 posthumous manuscripts,[65] wherein the first approach is nuanced.

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[59]Ibid., 430.

[60]Lohmar (1993), 70. The underscoring is ours.

[61]*Hua XV*, 227–228, 233, 409ff.

[62]Lohmar (1993), 74–75.

[63]Ibid., 76–83. Lohmar asks whether an "ethics not tied to the familiar world" is possible, and simultaneously argues in favor of "reasonable grounds for the preservation of a plurality of forms of worldly-familiar *ethos*" (Ibid., 83–91). Although his concept is wide, since he also refers to it as *ethos*, deliberately we extend the field of his question to the possibility of recognizing the *universal* as such in its relation to the simultaneous preservation of *particularity* in general.

[64]*Hua VI*, 314–348.

[65]*Hua XXIX* and *Hua XV.*

The first approach, much better known, has been characterized as "euro-centric." As Scheler and others have also claimed, Husserl shares the idea that humanity's perfection as radical responsibility needs to be "unified" under the "infinite *telos* idea" of a founded knowledge. This "infinite idea" of a disinterested, ultimately founded knowledge – was historically discovered in the Greek world and gave Europe its *spiritual configuration.* It is the Greek-European philosophy that Europe has contributed, with its infinite idea and radical sense of responsibility, to humanity in general. Humanity thus tends to be "unified" under this infinite idea of radical responsibility. Europeans, "if they understand themselves correctly," do not tend to "become Indian."[66] Rather the contrary happens. As may be observed, Husserl promotes here two different and parallel ideas that may be sundered: one is Europe as a reality or a *historical factum.* In *this* Europe, in the Greek world of the past, the ideals of philosophy and European humanity were born. The other is that of Europe as a *rational ideal*, as a future project, as the idea of an infinite *telos*, that of a "unified humanity," ultimately responsible.[67] Now, one may preserve the Husserlian idea of a radical responsibility and foundation, sundering it from a given historical humanity. As Dieter Lohmar points out, "It would have been as correct if Husserl had said that we should not 'become Indian' as well as that we should not 'become European' – in a historical-factual sense – 'if we understand ourselves well.' The regulative idea speaks in the name of a philosophical radicalism that must remain stateless."[68] Indeed, the ideas of "science" and "ethics" may very well be founded, for example, in a "worldly-familiar rationality" such as the European one. But, as Lohmar points out again, "A culture seems to us provincial and unilateral if it only draws its motivations for the realization of an infinite idea from itself – since the others seem to it 'immature.'"[69] Hence, the possibility of the constitution of *a* universal science and universal ethics may never be legitimized as a mere projection of the convictions of a particular and factually historical "familiar world."

Husserl's next approach that helps overcome the apparent "unilateralism" of his former approach consists in proposing the constitution of the infinite idea of *a* knowledge and *an* ethics, namely, of a "universal world" – beyond the unilateral generalization established from a dominant "familiar world" – by means of what in similar contexts hermeneutics has called a "fusion of horizons." It is an *encounter*, *exchange*, and *mediation* among different truth claims based on experience. Phenomenologically speaking, it is true that each point of view tied to a familiar world may claim to be *the* worldview.[70] Now, Husserl's notion of *supra-nationality* proposed as a rational "infinite ideal," although it should not be established foremost from any "familiar world," no matter how successful or attractive, does "work

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[66]*Hua VI*, 320.

[67]Lohmar (1993), 85–86.

[68]Ibid., 86.

[69]Ibid., 87.

[70]Ibid., 88.

in the *mediation* among concurrent world views."[71] At the end of his life Husserl dealt with precisely this "dynamics of the encounter among several cultures, and with the utility of such an encounter for the realization of the idea of a supra-nationality,"[72] especially reflecting on the role that world commerce had at the time of the Greeks.[73] Husserl underscores the relevance of *personal encounter* among Greek merchants and representatives of other cultures. Only that, and not the mere "hearing" or "reading" about alien worldviews "broke the normality" and brought a deep change of attitude that enabled ultimately to relativize the national myths of the Greek "familiar world" at the same time it enabled to found philosophy spiritually.[74] Husserl's thesis concerns thus the profit brought about by the plurality of national familiar worlds and their peaceful encounter for the development of the idea of a supra-nationality or humanity. He writes: "In the context of humanities from different nations that understand each other peacefully, what to each was simply an existing world in a mere national mode of representation (regarding its validity), is itself transformed."[75] Hence, *encounter*, *exchange*, and *mediation* give the possibility of reflecting on the passage from the *particularities* of perspectives to the *universality* of a common point of view, maintaining the two equally necessary rational claims: that of "multiplicity" and that of "unity."

5   Conclusion: The Dialectics of the Inter-esse

In view of the ideas of encounter, exchange, and mediation, I wish to conclude with some brief reflections on the interweaving or intertwining presupposed in the "in-between" of notions such as "*inter*-subjectivity" or "*inter*-culturality." Husserl used to refer to such "*inter*" as an "intentional relation" of the type "being-within-each-other" (*Ineinandersein*), "being-with-the-other" (*Miteinandersein*), and "being-for-the-other" (*Füreinandersein*). We could expand this concept in the line of Bernhard Waldenfels's meditations on the German word *Verschränkung* or interweaving.[76] It means more than a mere intermediate space between the two members of a relationship – such as an interlocution or an interaction – more than a mere coordination and coincidence among expressions and actions or – if it be the case – of cultures. All of this already *presupposes* the "intertwining," the "interweaving," or "overlapping." In all of these concepts the extremes of complete coincidence or "identity" (fusion), on the one hand, and complete distinction,

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[71]*Loc.cit.*

[72]Ibid., 89.

[73]*Hua XXIX*, 338.

[74]"Precisely this normality first breaks when human beings enter from their own national vital space the alien nation's one" (Ibid., 388).

[75]Ibid., 45. See also Lohmar (1993), 91.

[76]Waldenfels (1993), 53–56. See also Waldenfels (2001), 125–128.

on the other, are rejected. So that between what is own and what is alien there is not a pure and simple opposition. Since the beginning, what is own and familiar is more or less interwoven with what is alien, the "identical" with the "different," "sameness" with "otherness," without clear boundaries in between. This *inter* not only founds the recognition of the plurality of particular familiar worlds but also the constitution of the universal idea of *an* ethics, *a* humanity, and *a* world.

This has significant consequence for epistemological, ethical–political, axiological, religious, or ethnical debates, in which the dilemmas proper to "familiar" and "alien" worlds especially in violent conflicts are laid out. The mere idea of "purification" or "cleansing" (such as "ethnic" cleansing) of the "alien" for one's "own" profit – as Waldenfels points out – makes philosophers extremely uncomfortable, for they see there only a step to the violent term "purge."

In sum, if there is a deontological lesson to draw from these phenomenological meditations in Husserl's style, is that "ownness may not be reached without the alien." The dialectics of the *inter-esse* thus leads to the concept of "interest" – of one *for* the other, of one *in* the other – but this is already matter for another reflection.

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Husserl and Merleau-Ponty on Embodied Experience

Dermot Moran

> *Ich habe meinen Körper, ich bin mein Leib, Helmuth Plessner*
>
> *I am my body. Gabriel Marcel (quoted in Phenomenology of Perception, p. 174 n. 1; 203 n. 1)*
>
> *I am my body. (Je suis donc mon corps.) Maurice Merleau-Ponty, Phénoménologie de la perception (1945, p. 198; 231; see also p. 150; 175)*

In this paper I want to re-examine Husserl's foundational discussion of embodiment and reassess its influence on Merleau-Ponty.*

1   In the Shadow of Husserl

Since the foundation of phenomenology with Franz Brentano, the careful and patient analysis of perception has been at the very heart of its method and concerns. Although he rarely made it explicitly thematic, Husserl regularly discussed perceptual experience in his major publications from *Logical Investigations* (1900/1901) to *Experience and Judgment* (1938). (An exception to this lack of thematization, however, is his 1907 *Thing and Space* (*Ding und Raum*)† lectures, where he may be said to have explicitly inaugurated the "phenomenology of perception," where he employs

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that exact phrase. More recently his *Wahrnehmung und Aufmerksamkeit* lectures (up to 1912) have been published which also discuss perception in detail.[1])

Maurice Merleau-Ponty, as he constantly acknowledged (see, for instance, his extended recognition of his debt in "The Philosopher and His Shadow" in *Signs*,[2] while at the same time emphasizing that all commemoration is also a kind of betrayal), was hugely influenced by Edmund Husserl's account of embodied perceptual experience (not only as he discovered it in the typescripts of *Ideas II* and *Crisis*, but from his extraordinarily attentive readings of Husserl's published writings). Merleau-Ponty's interpretative reading of Husserl remains remarkably consistent across his writings from *Phenomenology of Perception* (1945)[3] to *Signs* (1960). While Merleau-Ponty claimed to be "pushing Husserl further than he wished to go," he never ceased to express a huge loyalty to the mission of phenomenology and to philosophy as itself phenomenology. He has been accused of being overly insistent on his continuity with Husserl, when in fact he was breaking new ground. But I think this is mistaken and that Merleau-Ponty is actually a supremely subtle and perceptive reader of Husserl; and indeed was quick to grasp the fuller implications of Husserl's works, which we, thanks to the Husserliana publications, can now appreciate in more detail. Of course, when writing the *Phenomenology of Perception*, Merleau-Ponty has access not only to Husserl's draft manuscripts as supplied to him by Van Breda through the war years, as well as personal contact with Eugen Fink, but also access to very reliable texts expounding Husserl's conception of experience, namely Edith Stein's *On the Problem of Empathy* (Halle, 1917)[4] as well as her Habilitation on the "Contributions to the Philosophical Foundation of Psychology and of the Human Sciences" published in the *Jahrbuch* (1922, cited in Merleau-Ponty's bibliography in the *Phenomenology of Perception*).[5] Stein is clear (as is *Ideas II*) that the sensory fields of experience are "alien to the ego" (*Ichfremd*) as opposed to more "*ichlich*" or "egoic" states such as enjoyment.[6] In *On the Problem of Empathy* she gives a very careful articulation of Husserl's views on perception, as can be found in the later published *Ideas II*, with elaborate discussion of the incompletely constituted character of the lived body as well as its function as the *Nullpunkt* of perception. Merleau-Ponty always portrays the mature Husserl as someone who acknowledged that phenomenological reflection had to be harnessed to *history* and *facticity*, and who

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[1] See E. Husserl, *Wahrnehmung und Aufmerksamkeit. Texte aus dem Nachlass (1893–1912)*, Husserliana vol. XXXVIII (Dordrecht: Springer, 2004).

[2] M. Merleau-Ponty, *Signes* (Paris: Gallimard, 1960), trans. R. McCleary, *Signs* (Evanston: Northwestern U.P., 1964).

[3] M. Merleau-Ponty, *Phénoménologie de la perception* (Paris: Gallimard, 1945), trans. C. Smith as *Phenomenology of Perception* (London: Routledge & Kegan Paul, 1962). Henceforth "PP" followed by page number of English translation; then, pagination of French edition.

[4] Edith Stein, *Zum Problem der Einfühlung* (Halle: Buchdruckerie des Waisenhauses, 1917, reprinted Muenchen: Verlagsgesellschaft Gerhard Kaffke, 1980), trans. Waltraut Stein, *On the Problem of Empathy* (The Hague: Nijhoff, 1964; 3rd ed., Reprinted Washington, DC: ICS Publications, 1989).

[5] This treatise has been translated as E. Stein, *Philosophy of Psychology and the Humanities*, ed. Marianne Sawicki, trans. Mary Catherine Baseheart and Marianne Sawicki, *Collected Works of Edith Stein* Vol. 7 (Washington, DC: Institute of Carmelite Studies, 2000).

[6] Stein, op. cit., p. 17.

faced the paradoxes implicit in that conception, and indeed his own phenomenology of perception follows Husserl *à la lettre* in this regard.

Given the widespread view that Merleau-Ponty departs fundamentally from his mentor Husserl, it is important to try to form a more accurate picture of the nature of Husserl's influence on him, and the manner in which Merleau-Ponty in turn transformed and interpreted what he had received from the master he never personally knew.[7]

It is often maintained (by philosophers such as Hubert Dreyfus) that Merleau-Ponty's descriptions of embodied perception offer a significant advance beyond Husserl's ground-breaking but relatively tentative and unfinished explorations of this area (especially in his *Ideas II*).[8] According to this reading, Husserl is misleadingly characterized as a "methodologically solipsistic" representational, Cartesian philosopher of consciousness, who did think tangentially about embodiment and corporeality (*Leiblichkeit* which all animate beings, even ghosts, have – not *Körperlichkeit* which all material, spatial bodies have), but who is not usually credited with being a genuine philosopher of embodied action (Dreyfus' "skillful absorbed coping") or of what Merleau-Ponty calls the "incarnate subject" (*le sujet incarné*, PP, p. 154; 180). Even a sympathetic phenomenologist such as M. C. Dillon while acknowledging that Merleau-Ponty was in his middle period (i.e. 1945–1959) uncritical of Husserl, goes on to speak of Husserl's concept of the *Lebenswelt* as having a "latent solipsism" and as being conceived idealistically as a "constituted cultural horizon".[9] This view of Husserl can be challenged, but moreover, it was never the view of Husserl held by Merleau-Ponty.

Overall, there are indeed striking similarities between Husserl's and Merleau-Ponty's accounts of the role of the "I-body" (*Ichleib*) in all perceiving, the body as the *Nullpunkt* of orientation, the inextricable intertwining (*Verflechtung*) of the senses in actual perception, the presence/absence composition of perception, whereby the object appears in a "profile" (*Abschattung*) with other absent profiles co-intended, and the "horizonal" character of perceptual experience, as A. D. Smith has pointed out in a recent study.[10] In this respect, apart from a difference in the descriptive language, Merleau-Ponty's account of perception is much the same as

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[7] A. D. Smith, "The Flesh of Perception: Merleau-Ponty and Husserl," in T. Baldwin, ed. *Reading Merleau-Ponty on Phenomenology of Perception* (London & New York: Routledge, 2007), pp. 1–22, also seeks to assess Husserl's relation to Merleau-Ponty, but Smith interprets Merleau-Ponty as classifying Husserl with the "intellectualists" whereas I do not.

[8] See, for instance, Hubert Dreyfus, "Merleau-Ponty's Critique of Husserl"s (and Searle's) Concept of Intentionality", *Rereading Merleau-Ponty: Essays Beyond the Continental-Analytic Divid*e, eds. Lawrence Hass and Dorothea Olkowski (New York, NY: Humanity Books, 2000); and idem, "Intelligence without representation – Merleau-Ponty's critique of mental representation", *Phenomenology and the Cognitive Sciences*, Vol 1, No. 4, Special Issue: Hubert Dreyfus and the Problem of Representation, Anne Jaap Jacobson, Ed. (Kluwer Academic Publishers: 2002); and idem, "Merleau-Ponty and recent Cognitive Science", *The Cambridge Companion to Merleau-Ponty*, ed. Taylor Carman and Mark Hansen (Cambridge: Cambridge University Press, 2004).

[9] See M. C. Dillon, *Merleau-Ponty's Ontology*, 2nd Edition (Evanston: Northwestern U.P., 1988), p. 87.

[10] A. D. Smith, 'The Flesh of Perception: Merleau-Ponty and Husserl,' in T. Baldwin, ed. *Reading Merleau-Ponty on Phenomenology of Perception* (London & New York: Routledge, 2007), pp. 1–22.

Husserl's. Husserl is the primary source of Merleau-Ponty's phenomenology of the incarnate subject,[11] and of the phenomenological principle that subject and object are correlated a priori in an inseparable way, such that they are, as Merleau-Ponty puts it, "two abstract "moments" of a unique structure which is *presence*" (PP, p. 430; 492).

Husserl is also, for Merleau-Ponty, his ideal philosopher since, as perpetual beginner, he refuses to take for granted what others believe they know (PP, p. xiv; ix); in this sense Husserl challenges typical traditional philosophical and scientific accounts of perception. But Merleau-Ponty also finds in the writings of the mature Husserl (from *Ideas I* onwards, and not just in the *Crisis*) a more ambiguous philosophy, for whom, the reduction and the reflective turn can never do away with the complexity and darkness of the pre-reflective world of experience. In fact, I want to suggest, as Merleau-Ponty is the first to acknowledge, Husserl's thoughts about the subject incarnated in its perceptual world are very close to Merleau-Ponty's own views.

Merleau-Ponty usually presents this Husserl as the unpublished author struggling with radical originality as opposed to the "official" Husserl of publications such as *Ideas I*. He speaks of the "unthought" in Husserl (*impensé de Husserl*, "The Philosopher and His Shadow", *Signs*, p. 160; 202). Husserl's reflection is the uncovering of what is "unreflected" (*un irréfléchi*, *Signs*, p. 161; 204), and already given as that which provokes, enables and sustains the reflection itself. Merleau-Ponty links this emphasis on lived existence to a kind of Heideggerian/Sartrian emphasis on the anonymity of the subject's "ecstasis" or "*ek-stase*" (PP, p. 430; 491) towards the world: "It is this *ek-stase* of experience which causes all perception to be perception of something" (PP, p. 70; 85).[12] However, with regards to Heidegger, Merleau-Ponty presents him primarily as Husserl's student, who developed Husserl's account of the *Lebenswelt*. Thus in the Preface to *Phenomenology of Perception* Merleau-Ponty writes:

> …the whole of *Sein und Zeit* springs from an indication given by Husserl and amounts to no more than an explicit account of the "*natürlicher Weltbegriff*" or the "*Lebenswelt*" 'which Husserl, towards the end of his life, identified as the central theme of phenomenology…. (PP vii; i)

In other words, Merleau-Ponty here presents Heidegger's *Being and Time* in much the same way as Husserl himself did, namely, as a developed account of the natural mode of human being-in-the-world; "anthropology" in Husserl's sense. Merleau-

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[11] See, for instance, Donn Welton, "Soft Smooth Hands: Husserl's Phenomenology of the Lived-Body", in Donn Welton ed. *The Body: Classic and Contemporary Readings* (Oxford: Blackwell, 1999), pp. 38–56.

[12] Heidegger interprets intentionality in terms of the *ekstasis* of Dasein in the *Basic Problems of Phenomenology* as well as in *Being and Time*, see Dermot Moran, "Heidegger's Critique of Husserl's and Brentano's Accounts of Intentionality," *Inquiry* Vol. 43 No. 1 (March 2000), pp. 39–65; reprinted in *Phenomenology. Critical Concepts in Philosophy*, Ed. Dermot Moran and Lester E. Embree. (London & New York: Routledge, 2004), Vol. 1, pp. 157–183.

Ponty does indeed understand human existence, as Heidegger does, primarily as transcendence towards the world, but here he is precisely following Sartre's reading of Husserl, and indeed Husserl's own remarks on intentional transcendence.

For Merleau-Ponty, while Husserl is the philosopher seeking "universal constitution", at the same time he came to recognise that all reflection must ultimately be captive to actual experience:

> Reflection is no longer the return to a pre-empirical subject (*retour à un sujet préempirique*) which holds the keys to the world (*des clefs du monde*); it no longer circumambulates its present object and possesses its constitutive parts. Reflection must become aware of its object in a contact or frequenting (*un contact ou une fréquentation*) which at the outset exceeds its power of comprehension. … Reflection is no longer the passage to a different order (*le passage à un autre ordre*) which reabsorbs the order of present things; it is first and foremost a more acute awareness of the way in which we are rooted in them. ("The Philosopher and Sociology", *Signs*, pp. 104–5; 131)

Note that this term "pre-empirical" is frequent in Husserl.

With regard to the rejection of the "Cartesian" conception of universal constitution, is certainly true that Merleau-Ponty frequently rejects the idea of an disengaged intellectual consciousness constituting the world through some kind of intellectual synthesis and of intentionality as a "thought" or the product of an "I am" (see PP, p. 233; 269). Opposing the (Neo-Kantian?) interpretation of intentionality as a voluntary, primarily cognitive act, Merleau-Ponty emphases instead Husserl's "functioning intentionality" (*fungierende Intentionalität*) as "that which produces the natural and antepredicative unity of the world and of our life" (PP xviii; xiii). Our bodily intentions already lead us into a world constituted for us before we conceptually encounter it in cognition:

> I am not a constituting thought (*une pensée constituante*), and my "I think" is not an "I am", unless by thought I can equal the world's concrete richness (*la richesse concrète du monde*), and re-absorb facticity into it. (PP, p. 376n.1; 430–1n.1)

With regard to the context of this latter quote, Merleau-Ponty has been talking about Husserl (via Descartes who is the explicit target) and is criticising the view that, while the object of perception is doubtful, the actual act of perceiving it is not. Merleau-Ponty rejects this kind of apodicticity attaching to "inner" perceiving. He argues that if there really is a constituting power of subjectivity, it cannot end in the mere essential structure of things but must yield the actual concrete world itself. For Merleau-Ponty, consciousness is "transcendence through and through" (PP 376/431); what I am conscious of in seeing, is the "actual effecting of vision" (*l'effectuation même de la vision*, *PP* 376/431–2). Vision "is an action" and "sight is achieved and fulfils itself in the thing seen" (PP, p. 377; 432).

2   Challenging "Intellectualism" and the Pure Mind

There is in Husserl, for Merleau-Ponty, recognition of the ultimate impossibility of the transcendental attitude breaking with the natural attitude and becoming pure mind.

> We are involved in the world (*Nous sommes pris dans le monde*) and we do not succeed in
> extricating ourselves from it in order to achieve consciousness of the world. (PP 5; 11)

Furthermore, Merleau-Ponty's Husserl is not a pure essentialist who ignores existence in terms of infinite possibilities but someone who puts the essences back into existence:

> Husserl's thought is as much attracted by the haecceity of Nature as by the vortex (*le tourbillon*)
> of absolute consciousness. ("The Philosopher and His Shadow", *Signs*, p. 165; 209)

Merleau-Ponty portrays the early Husserl (of the *Logical Investigations*) as someone committed to eidetic intuition that goes beyond the factual, "passing to the infinity of possibles" (*Signs*, p. 105; 106), but, even by the time of *Ideas I*, Husserl had recognised that "eidetic intuition has always been a "confirmation," and phenomenology an "experience … and he generally rejected the possibility of a "mathematics of phenomena" or a "geometry of what is lived" (*Signs*, p. 105; 132). The real Husserl is someone who acknowledged the impossibility of shaking off the *Lebenswelt* (*le monde vécu*).

> The world … is no longer the visible unfolding of constituting thought … but the native
> abode of all rationality. (PP, p. 430; 492)

Furthermore, although Merleau-Ponty putatively differed from Husserl on the status and role of the transcendental ego, this is far from clear, given how approvingly Merleau-Ponty quotes Husserl's *Ideas II* on the nature of absolute subjectivity in "The Philosopher and His Shadow," which we shall return to below.

In fact, I believe that it can be demonstrated textually that many of Merleau-Ponty's criticisms of the interpretation of the Cartesian *cogito*, the transparency of constituting consciousness to itself, and of the status of the transcendental ego, are not in fact criticisms directed at Husserl himself, but are more generally criticisms of Neo-Cartesian and Neo-Kantian idealist thinkers such as Léon Brunschvicg (1869–1944) in particular, professor at the Sorbonne and the Ecole Normale.

3   The Thesis of the Primacy of Perception

Merleau-Ponty's work is a sustained effort to rehabilitate the world of perception with its inextricable correlation with the perceiving subject. He himself speaks of an "ontological rehabilitation of the sensible" ("Philosopher and His Shadow," *Signs*, p. 167). For him, both world and subject have been distorted both by science and by traditional philosophy. The danger, as Merleau-Ponty says, at the outset in *Phenomenology of Perception* is that we think we know (as the legacy of encrusted philosophy and a more general "intellectualism") what experience affords, we postulate certain theoretical constructs as the actual objects of perception and further we then "transpose these objects into consciousness" (PP, p. 5; 11):

> We think we know perfectly well what "seeing", "hearing", "feeling", are, because perception
> has long provided us with objects which are coloured and emit sounds. When we try to anal-
> yse it, we transpose (*nous transportons*) those objects into consciousness. (PP, p. 5; 11)

In the *Phenomenology of Perception* Merleau-Ponty writes that "to see the world and grasp it as paradoxical, we must break (*il faut rompre*) with our familiar acceptance of it", but he goes on to conclude that "from this break we can learn nothing but the unmotivated upsurge of the world" (*le jaillissement immotivé du monde*, PP xiv; viii).

Husserl, too, speaks of the need both to overcome and to account for the "taken-for-grantedness" or "obviousness" (*Selbstverständlichkeit*) of our naively experienced world. This is the whole meaning of the transcendental attitude (see Prague lectures, XXIX 119):

> The transcendental philosopher sees with astonishment that this whole objectivity with all the sciences of it is a huge problem. The radical problem is already the obviousness (*Selbstverständlichkeit*), in which this world is constantly and which this world is. (XXIX 119)

Phenomenology rightfully insists on the a priori correlation between subject and object. In his later notes, Merleau-Ponty claimed that the *Phenomenology of Perception* failed because he was starting from a consciousness/object distinction,[13] but it is clear that even there he is articulating an overcoming of this divide in terms of a unified field of experience. As Dillon himself comments:

> "Consciousness" in the *Phenomenology* [*of Perception*] is a term seeking its own dissolution. It is an illuminating impediment to the development of Merleau-Ponty's ontology.[14]

Merleau-Ponty does not just want to emphasise the peculiar character of embodied perceiving. He also wants to emphasise that the so-called "objective world" to which perception gives access is also less fixed and more ambiguous that we normally suppose:

> Perception is thus paradoxical. The perceived thing itself is paradoxical; it exists only in so far as someone can perceive it. I cannot even for an instant imagine an object in itself. (*Primacy of Perception*, p. 16)

Both Husserl and Merleau-Ponty are committed to the transcendental idealist claim that the objective world is what it is due to its correlation with subjectivity and there is no world outside of that correlation. As Merleau-Ponty constantly tries to articulate, the body is both in the world as object and also that which mediates world to the experiencing subject:

> My body is the fabric into which all objects are woven (*la texture commune de tous les objects*), and it is, at least in relation to the perceived world, the general instrument of my "comprehension" (*l'instrument general de ma 'compréhension'*). (PP, p. 235; 272)

As M. C. Dillon has pointed out, Merleau-Ponty is also committed to the foundationalist thesis of the primacy of perception as foundation for all claims to truth and

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[13] M. Merleau-Ponty, *Le Visible et l'invisible*, texte établi par Claude Lefort (Paris: Gallimard, 1964), p. 200, trans. A. Lingis, *The Visible and the Invisible* (Evanston: Northwestern U.P., 1968), p. 253. Henceforth "VI" and page no. of English translation; followed by page number of French edition.

[14] M. C. Dillon, op. cit., p. 102.

validity.[15] According to Merleau-Ponty, the familiar, taken-for-granted perceptual world is actually "to a great extent unknown territory,"[16] ignored by traditional philosophy (Merleau-Ponty cites Descartes' wax example, better known by intellection than by sensing), yet rehabilitated by modern art (e.g. Cézanne) and by modern philosophy (phenomenology). In his *Phenomenology of Perception* (1945), he insists that all knowing, including intellection, indeed all consciousness, ultimately depends upon, elaborates on, what is uncovered in perception. Merleau-Ponty insists:

> all knowledge takes place within the horizons opened up by perception. (PP, p. 207; French 240)

and again

> All consciousness is, in some measure, perceptual consciousness. (PP, p. 395; 452);

> The perceived world is the always-presupposed foundation of all rationality, all value and all existence. (*Primacy of Perception*, p. 13)

> And, elsewhere:

> all conciousness is perceptual even the consciousness of ourselves. ("The Primacy of Perception," in *The Primacy of Perception*, p. 13)

Merleau-Ponty's main theme is the concrete richness of pre-reflective, pre-theoretical, embodied conscious experience of the world through perception. This perceptual life provides the ambiguous basis for subsequent rational thought and indeed conscious "egoic" selfhood in the full sense. Thus, for Merleau-Ponty, as indeed for Husserl, the "self" which perceives is, not the I which decides and reasons, but rather another self that has, in his words, "already sided with the world" (*qui a déjà pris parti pour le monde*, PP, p. 216; 250), a "modality of a general existence, one already destined (*vouée à un monde*) for a physical world, that runs through me (*fuse à travers moi*) without my being the cause of it" (ibid.). Elsewhere, in *Phenomenology of Perception* he says:

> My personal existence must be the resumption of a prepersonal tradition. There is, therefore, another subject beneath me, for whom a world exists before I am here, and who marks out my place in it. This captive or natural spirit is my body … the system of anonymous "functions" which draw every particular focus into a general project. (PP, 254; 293–4)

According to Merleau-Ponty, "the body is a natural self" (*un moi naturel*, PP, p. 206; 239). In general, Merleau-Ponty, under the influence of Heidegger and Sartre, takes the name "existence" for the general state of the embodied human connection to the world, for which he also used the term "being-in-the-world" (*être au monde*).

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[15]See M. C. Dillon, *Merleau-Ponty's Ontology*, 2nd Edition (Evanston: Northwestern U.P., 1988), p. 51.

[16]M. Merleau-Ponty, *The World of Perception*, trans. Oliver Davis (London: Routledge, 2004), p. 39.

> The world is inseparable from the subject, but from a subject which is nothing but a project of the world, and the subject is inseparable from the world, but from the world which it projects itself. The subject is a being-in-the-world and the world remains "subjective" since its texture and articulations are indicated by the subject's movement of transcendence. (PP, p. 430; 491–2)

But the nature of the perceiving body's existence is "ambiguous" (PP, p. 198; 231) and I have no way of knowing it except through "living it, which means taking up on my own account the drama which is being played out in it, and losing myself in it. I am my body…." (PP, p. 198; 231)

Merleau-Ponty way of exploring this ambiguous, incarnate, lived perceptual existence is through transcendental phenomenology, but, in exploring this relation of transcendence in immanence (as Husserl calls it), he seeks explicitly to repudiate the more Cartesian, Kantian and generally "intellectualist" aspects of Husserlian thought. One cannot simply think oneself into the constitution of this embodied existence. Merleau-Ponty is a constant critic of the idea of a transcendental subjectivity that is given to itself in full transparency. Rather: "We constitute constituting consciousness by dint of rare and difficult efforts" (Merleau-Ponty, "Philosopher and his Shadow," *Signs*, p. 180; 227).

For him, modern psychology sees the object as a system of properties presenting to the various senses and united by an intellectual synthesis.[17] Yet, for Merleau-Ponty, the unity of the object will remain a mystery in this approach. Merleau-Ponty insists that what is experienced is always what he calls a "structure" or a "system" which is already meaningful and significant. This "structure" or "system" already has a kind of validity and living significance of its own. In this respect, Merleau-Ponty always speaks of a kind of unified, dynamic, vital significance running between ourselves and our world.

4 The Intertwining and Intercommunication of the Senses in Constituting the Perceived World

Both Husserl and Merleau-Ponty believe that empiricist atomism concerning the senses has shortchanged experience. Genuine perception requires the whole body and cannot be achieved by isolated sense organs acting alone:

> Sensory experience [i.e. individual experiencing through one sense only such as sight] is unstable, and alien to natural perception, which we achieve with our whole body all at once, and which opens on a world of interacting senses. (PP, p. 225; 260–1)

As is well known, one of Merleau-Ponty's first moves is to reject the individual, atomistic "sense datum" or "quale" as the specific object of sensuous perceivings. In *De anima* Book II Aristotle discusses sight, touch, taste and so on, and distinguishes between proper sensibles (colour, sound) and common sensibles (motion,

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[17] Merleau-Ponty, *The World of Perception*, op. cit., p. 59.

figure, etc.) which can be grasped by more than one sense. Aristotle's legacy, with his restrictive account of just what the senses can see – something adopted by the Cartesians and by empiricists such as Berkeley – was directly challenged by phenomenology, both by Husserl and subsequently Merleau-Ponty. Whereas, for instance, Aristotle maintained that sight only apprehended "colour" in a relatively strict sense, the phenomenological tradition, including Husserl and Merleau-Ponty, insists that we see the actual *texture* of a coloured surface and its intermeshing with other sensory modalities. Thus I can see that the carpet is "woolly red," to invoke Merleau-Ponty's own example:

> Finally this red would not be the same if it were not the woolly red of the carpet. (*Phenomenology of Perception*, pp. 4–5; 10)

Similarly, Merleau-Ponty claims we can *hear* not just sounds but also the *brittleness* of the glass as it breaks. We *see* the difference between a wheel bearing weight and one not doing so (PP, p. 52; 64). We do not see a pure *quale* but rather our vision is already inhabited by significance, "a vital value" (*une valeur vitale*, PP, p. 52; 64), whereby the property is related to our "incarnate subject" (*sujet incarné*, PP, p. 52; 64). Thus the child, burnt by the flame, *sees* the candle's light as threatening.

Colours as experienced, for Merleau-Ponty, do not have "a certain indescribable state or *quale*" rather they present themselves "with a motor physiognomy, and are enveloped in living significance" (*d'une signification vitale*, PP. p. 209; 243). He goes on:

> The motor significance of colours is comprehensible only if they cease to be closed states or indescribable qualities presented to an observing and thinking subject, and if they impinge within me upon a certain general setting (*montage*) through which I come to terms (*je suis adapté au monde*) with the world; if, moreover, they suggest to me a new manner of evaluating, and yet if motility ceases to be the mere consciousness of my movements from place to place in the present and immediate future, and becomes the function which constantly lays down my standards of size and the varying scope of my being in the world (*mon être au monde*). Blue is that which prompts me (*sollicite de moi*) to look in a certain way, that which allows my gaze to run over it in a certain manner. (PP, p. 210; 243)

It is not enough to discover that green is a restful colour and red is disturbing: "we must rediscover how to live these colours as our body does, that is, peace or violence in concrete form" (PP, p. 211; 245).

Merleau-Ponty then goes on to make a powerful analogy between the *sensing* and the *sensible*. It is like that between sleeper and sleep. The person intending to sleep lies down and puts the body in a position that invites sleep and falls into a rhythm of breathing which is eventually taken over by the breathing of sleep:

> *I* am breathing deeply and slowly in order to summon sleep (*pour appeler le sommeil*), and suddenly it were as if my mouth were connected to some great lung outside myself which alternately calls forth and forces back my breath. (PP, pp. 211–12; 245)

Indeed, Merleau-Ponty's discussions of sleep and dreaming are quite remarkable in that he claims that the world pervades our consciousness even in sleep.

For Merleau-Ponty, the natural sciences and traditional philosophy have both collaborated in isolating the senses from each other, whereas we have to see them

as interwoven in a synaesthetic way. *Synaesthesia* (which he discusses in relation to people who have taken mescalin (PP, p. 228; 263), where the sound of a flute takes on a bluish-green colour) is taken by Merleau-Ponty not to be an abnormal condition, but rather to be quite normal and indeed an integral element in everyday experience:

> Synaesthetic perception is the rule (*La perception synesthétique est la régle*) and we are unaware of it only because scientific knowledge shifts the centre of gravity of experience (*déplace l'expérience*), so that we have unlearned (*désappris*) how to see, here and generally speaking, feel, in order to deduce (*déduire*), from our bodily organisation and the world as the physicist sees it, what we are to see, hear and feel. (PP, p. 229; 265)

Merleau-Ponty goes on to claim that each colour "is nothing but the inner structure of the thing overtly revealed" (*n'est que la structure intérieure de la chose manifes-tée au dehors*, PP, p. 229; 265). The senses are interwoven and "intercommunicate" (invoking another phenomenologist Schapp, *Beiträge zur Phänomenologie der Wahrnehmung*, 1910):

> The senses intercommunicate (*communiquent entre eux*) by opening onto the structure of the thing (*la structure de la chose*). One sees the hardness and brittleness of glass, and when with a tinkling sound, it breaks, this sound is conveyed by the visible glass. One sees the springiness of the steel, the ductibility of redhot steel, the hardness of a plane blade, the softness of shavings. … The form of a fold of linen or cotton shows us the resilience of dryness of the fibre, the coldness or warmth of the material …In the same way I hear the hardness and unevenness of cobbles in the rattle of a carriage, and we speak appropriately of a "soft", "dull" or "sharp" sound. (PP, pp. 229–30; 265)

Merleau-Ponty constantly emphasises this intertwining:

> The sensing (*le sentant*) and the sensible (*le sensible*) do not stand in relation to each other as two mutually external terms, and sensation is not an invasion of the sentient by the sensible. It is my gaze (*mon regard*) that subtends (*sous-tend*) colour, and the movement of my hand which subtends the object's form, or rather my gaze pairs off with colour, and my hand with hardness and softness, and in this exchange between the subject of sensation and the sensible it cannot be held that the one acts while the other suffers the action, or that one confers significance on the other. Apart from the probing of my eye or my hand, and before my body synchronises with it, the sensible is nothing but a vague beckoning (*une sollicita-tion vague*). (PP, p. 214; trans modified; 247–8)

Husserl too speaks of this "intertwining" for instance of the the constitution of the physical object with the constitution of the ego-body (*Ichleib*) in his *Thing and Space* lectures of 1907 (DR § 47, p. 137; XVI 162), where he also, incidentally, discusses the case of one hand touching the other, and the manner in which sensations of touching can be reversed into sensations of being touched.

For Merleau-Ponty, the traditional debate as to whether sight or touch affords the experience of space is mistaken. Each sense conveys spatiality in its own unique way. In a wonderful passage, Merleau-Ponty takes about the way each sense "makes space" (*faire l'espace*, PP, p. 221; 256):

> When in the concert hall, I open my eyes, visible space seems to me cramped compared to that other space through which, a moment ago, the music was being unfolded, and even if I keep my eyes open while the music is being played, I have the impression that the music is not really contained within this circumscribed and unimpressive space. (PP, p. 222; 256)

A blind person whose sight is restored finds the whole world different, not just through the addition of a new sensory modality but because the entire "structure of the whole" (PP, p. 224; 259) has altered.

Interestingly, Husserl makes similar claims about the interlocked nature of our perceptual experience and the living whole into which it seamlessly runs.

5   Husserl's ABC of Consciousness

Husserl is seeking what occasionally calls "the ABC of consciousness". Husserl wants to uncover the basic forms of our conscious life in terms of their essential features and necessary structural interconnections, how it all hangs together (as John Searle puts it). It is not, therefore, just a matter of the enumeration or "uncovering" (*Enthüllung*) of the layers of our intentional life, Husserl also wants to examine their interlocking interconnection into the single, unified framework (*Lebenszusammenhang*) which enables not just the unity and identity of a single consciousness but also participation in the shared, communalized, universal rational life, our *Erkenntnisleben*. Husserl, like Bergson and Merleau-Ponty, is a holist. Intentional life is an interconnected *whole*, the structure which binds the elements together (attitudes, beliefs, modifications, sedimentations, alterations of attitude, etc) has to be understood as a coherent, integrated "complex" (*Zusammenhang*) which gives us the harmony of a continuously existing world. Husserl often speaks of the different layers or "strata" involved in an act of consciousness. He also points out that (in perception) these strata do not sit on top of one another but "interpenetrate or intersaturate" each other (*sie durchdringen sich oder durchtränken sich*, DR, p. 62; 75).

In keeping with his close attention to what is given in experience, Husserl, like Merleau-Ponty, is both an admirer of empiricism and its critic. For Husserl, empiricism genuinely represented "a radicalism of philosophical practice,"[18] setting itself against all idols of metaphysical superstition. In that sense, Husserl says in *Ideas I*, empiricism "springs from the most praiseworthy motives," but it carries a conceptual and unexamined baggage.[19] As a committed, even radical, empiricist, Husserl too begins his account of cognition with direct, immediate perceptual experience, which for him, as subsequently Merleau-Ponty, forms the basis of all consciousness. The bedrock mental act is perception, therefore any study of knowledge and consciousness must begin with perception, although it clearly does not stop there, going on to study judgements and other forms of position-taking (*Stellungnahme*).

For Husserl, perception offers a paradigm of a kind of consciousness where intention finds fulfilment, where the activity of perceiving receives immediate and constant confirmation and collaboration, and hence is a paradigm of the evidence, the "primordial form" (*Urmodus*) of intuitiveness (APS 110; Hua XI 68; see also *Crisis* § 28, p. 105; Hua VI 107). In *Ideas I* § 39 Husserl writes:

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[18] E. Husserl, *Ideas I*, § 19, p. 35; Hua III/I 35.

[19] *Ideas I*, § 19, p. 35; Hua III/1 34.

> I shall look for the ultimate source which feeds the general positing of the world effected by me in the natural attitude, the source which therefore makes it possible that I consciously find a factually existing world of physical things confronting me and that I ascribe to myself a body in that world … Obviously this ultimate source is sensuous experience. For our purposes, however, it will be sufficient if we consider sensuous perception … a primal experience from which all other experiencing acts derive a major part of their grounding force. (*Ideas I* § 39, pp. 82–3; Hua III/1 70)

Merleau-Ponty emphasises the importance of this *Urdoxa* of perception and of the natural attitude in his important essay on Husserl,[‡] "The Philosopher and His Shadow" (in *Signs*, pp. 163–4; 207–208), when he argues that the natural attitude gives rise to the phenomenological attitude and yet somehow still encompasses it: "the natural attitude … seesaws in phenomenology" (*Signs*, p. 164; 207).

According to Husserl, in his 1924 lecture to the Kant Gesellschaft[20], it is perceptual consciousness that gives us our first sense of objectivity, physicality and the experience of "world":

> [Perception] is what originally makes us conscious of the realities existing for us and "the" world as actually existing. To cancel out all such perception, actual and possible, means, for our total life of consciousness, to cancel out the world as objective sense and as reality accepted by us; it means to remove from all thought about the world (in every signification of this word) the original basis of sense and legitimacy. ("Kant and the Idea of Transcendental Philosophy", p. 26; *Erste Philosophie* Hua VII 251)

Perception of transcendent objects gives us the *sense* of an abiding world, of a world that is our disposal in so far as we can revisit and re-perform earlier perceptions, and so have an abiding knowledge, as he stresses in his *Analyses of Passive Synthesis* lectures:

> The fact that a re-perception, a renewed perception of the same thing, is possible for transcendence characterizes the fundamental trait of transcendent perception, alone through which an abiding world is there for us, a reality than can be pregiven for us and can be freely at our disposal. (APS § 3, p. 47; Hua XI 10)

> Intellectualism and empiricism do not give us any account of the human experience of the world; they tell us what God might think about it. (PP, p. 255; 296)

At the same time, Husserl was a relentless critic of extreme empiricism "as absurd a theory of knowledge as extreme scepticism" (LU *Prol.* § 26 Appendix, I, p. 59; Hua XVIII 94). Husserl's overall complaint against empiricism was that it misunderstood and incorrectly "theorized" the very nature of the "given" on which it depended. Empiricists start from "unclarified preconceived opinions."[21]

[‡]Edmund Husserl, *Analysen zur passive Synthesis. Aus Vorlesungen-und Forschungsmanuskripten (1918–1926)*, hrsg. M. Fleischer, *Husserliana*, Band XI (Dordrecht: Kluwer, 1988); trans. Anthony Steinbock as *Analyses concerning Passive and Active Synthesis* (Dordrecht: Kluwer, 2001). Hereafter: APS.

[20]Husserl, Edmund. "Kant and the Idea of Transcendental Philosophy." Trans. Ted E. Klein and William E. Pohl. *Southwestern Journal of Philosophy* Vol. 5 Fall 1974, pp. 9–56.

[21]Husserl, *Ideas I*, § 20, p. 38; Hua III/I 38.

Husserl appears not to have *intellectualism* in his sights in the same manner as Merleau-Ponty does. But both Husserl and Merleau-Ponty reject the *naturalistic* and *objectivist* notion of a "ready made world" (to use Putnam's phrase) which is already there prior to its encounter with consciousness. As Husserl writes:

> The conception we are fighting against acts, obviously, as if objectivity, Being of every sort, were something in itself without relation to consciousness, as if consciousness only accidentally approached the object, operated on it, and undertook these and those alterations, precisely in the mode of an operation in the natural sense. In the background lies hidden the presumed obviousness: things are in themselves prior to all thought, and now comes the Ego-subject, a new thing, which works on and produces something, …. (DR, p. 33; XVI 39)

Similarly, Merleau-Ponty insists that the "things of the world are not simply neutral *objects* which stand before us for our contemplation".[22]

6   Husserl on Our Affective Life

One should not think of Husserl as someone who concentrated only on logical acts or epistemic acts. He was also capable of writing insightfully about the complexity of our emotional and affective life. For instance, Husserl discusses the example of a *grudge*. My deeply felt grudge against someone can be reawakened; but it can thereafter become either a "reawakened grudge" or a *new* grudge based on the same old motivations. In *Ideas II*, Husserl writes about the attitude involved in grudging:

> At different times I do have different experiences of the grudge … yet it is only the grudge coming again to givenness; it is a lasting grudge (or a lasting conviction). The judgement of determinate content as lived experience lasts a while (immanent duration) and then is irretrievably gone. A new lived experience of the same content can subsequently emerge – but not the same lived experience. It may emerge in such a way, however, that it is only the former conviction returning again, the former conviction that had been carried out earlier and is now again being carried out, but it is the one lasting conviction, the one I call mine. (*Ideas II*, p. 120: Hua IV 113)

But Husserl distinguishes this kind of identity from that of the mathematical judgement.

> If I acquire anew an old conviction, while executing the appropriate judgement, then the acquired conviction (a lasting acquisition) "remains" with me as long as I can assume it "again", can bring it again to givenness for me in a new execution. I may also abandon the conviction, now rejecting the reasons for it, etc. Then again I can turn back to the "same" conviction, but in truth the conviction had not been the same throughout. (*Ideas II*, p. 121; IV 114)

Merleau-Ponty is not in agreement with Husserl on this last point. He takes the essential and intrinsic temporality of our conscious experience to be such that we can really never revisit the same conviction and genuinely affirm it is the *same*.

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[22] Merleau-Ponty, *The World of Perception*, op. cit, p. 63.

7   Husserl on Perception

Let us go over what Husserl himself has to say about perception. For him, as for Merleau-Ponty, perception is the basic form of conscious experience, characterised by certainty and acceptance (perceptual certainty) such that every normal perception is a consciousness of validity. It is an experience of something present, self-given, there. The object has the character of "*selbst-da*" and is given "in one blow" (*in einem Schlage*), while at the same time it presents itself in profiles. The object as such is actually the Kantian Idea of the unity of these infinite profiles; it is a combination of presence and absence.

As Husserl says in *Thing and Space* (p. 105):

> The essence of perception implies, indeed, that the thing stands there in the mode of givenness in the flesh and as determined in such and such a way, thus with a sense which refers to possibilities of fulfilment whereby the thing would come step by step to full givenness. (*DR*, p. 105; 125–6)

In *Ding und Raum* Husserl gives his most detailed analysis of the essence of the perception of spatial objects. Here and elsewhere he points to the essential "inadequacy" (*Inadäquatheit*, EP VIII 44) and to "a radical incompleteness (*eine radicale Unvollständigkeit*, DR XVI 51) of perception. We have the sense of a "more" attaching to the object. In later writings Husserl speaks of a *plus ultra* given in the empty horizon (APS, p. 48; Hua XI 11). Husserl prefers to speak of it as an excess, an overflowing. There is an "excess" which is a permanent structural feature of external perception. The perception of its essence always promises more than it actually supplies:

> External perception is a constant pretension to accomplish something that, by its very nature, it is not in a position to accomplish. Thus, it harbors an essential contradiction, as it were. (APS 38; Hua XI 3).

This is the transcendence involved in perception.

Husserl tries to describe the manner in which the absent sides of a physical object are co-presented in a perception as a kind of empty intending or an apperception. It is not however either an imaginative filling or a kind of inferential reasoning or a representing. Merleau-Ponty makes a very similar claim in his *Primacy of Perception* address

> If we consider an object which we perceive but one of whose sides we do not see, or if we consider objects which are not within our visual field at this moment – i.e., what is happening behind our back or what is happening in America or at the South Pole – how should we describe the existence of these absent objects or the nonvisible parts of present objects? Should we say, as psychologists have often done, that I *represent* to myself the sides of this lamp which are not seen? If I say these sides are representations, I imply that they are not grasped as actually existing; because what is represented is not here before us, I do not actually perceive it. It is only a possible. But since the unseen sides of this lamp are not imaginary, but only hidden from view (to see them it suffices to move the lamp a little bit), I cannot say that they are representations.

Should I say that the unseen sides are somehow anticipated by me, as perceptions which would be produced necessarily if I moved, given the structure of the object? If, for example, I look at a cube, knowing the structure of the cube as it is defined in geometry, I can anticipate the perceptions which this cube will give me while I move around it. Under this hypothesis I would know the unseen side as the necessary consequence of a certain law of the development of my perception. But if I turn to perception itself, I cannot interpret it in this way because this analysis can be formulated as follows: It is *true* that the lamp has a back, that the cube has another side. But this formula, "It is true," does not correspond to what is given to me in perception. Perception does not give me truths like geometry but presences. I grasp the unseen side as present, and I do not affirm that the back of the lamp exists in the same sense that I say the solution of a problem exists. The hidden side is present in its own way. It is in my vicinity. Thus I should not say that the unseen sides of objects are simply possible perceptions, nor that they are the necessary conclusions of a kind of analysis or geometrical reasoning. It is not through an intellectual synthesis which would freely posit the total object that I am led from what is given to what is not actually given; that I am given, together with the visible sides of the object, the nonvisible sides as well. It is, rather, a kind of practical synthesis: I can touch the lamp, and not only the side turned toward me but also the other side; I have only to extend my hand to hold it. (*Primacy of Perception*, pp. 13–14)

Merleau-Ponty speaks of a practical synthesis where Husserl would more properly speak of passive synthesis. It is passive and practical in the sense that there is no ego involvement. Merleau-Ponty's answer would be exactly the same as Husserl's. Perception is a *sui generis* experience; it does not have conceptual content in and of itself. Merleau-Ponty concludes:

In other words, the synthesis which constitutes the unity of the perceived objects and which gives meaning to the perceptual data is not an intellectual synthesis. Let us say with Husserl that it is a "synthesis of transition" [*synthèse de transition*] – I anticipate the unseen side of the lamp because I can touch it – or a "horizonal synthesis" [*synthèse d'horizon*] – the unseen side is given to me as "visible from another standpoint," at once given but only immanently. What prohibits me from treating my perception as an intellectual act is that an intellectual act would grasp the object either as possible or as necessary. But in perception it is "real"; it is given as the infinite sum of an indefinite series of perspectival views in each of which the object is given but in none of which is it given exhaustively. It is not accidental for the object to be given to me in a "deformed" way, from the point of view [*place*] which I occupy. That is the price of its being "real." The perceptual synthesis thus must be accomplished by the subject, which can both delimit certain perspectival aspects in the object, the only ones actually given, and at the same time go beyond them. This subject, which takes a point of view, is my body as the field of perception and action [*pratique*] – in so far as my gestures have a certain reach and circumscribe as my domain the whole group of objects familiar to me. Perception is here understood as a reference to a whole which can be grasped, in principle, only through certain of its parts or aspects. The perceived thing is not an ideal unity in the possession of the intellect, like a geometrical notion, for example; it is rather a totality open to a horizon of an indefinite number of perspectival views which blend with one another according to a given style, which defines the object in question. (*Primacy of Perception*, p. 15)

In my view, Merleau-Ponty's summary presentation of his position in this address, "The Primacy of Perception," represents excellent but – I emphasise – still entirely faithful, Husserlian exegesis. Perhaps we see Merleau-Ponty's emphasis

when he says (as Alva Noë[23] does some 60 years later) that the subject which does the synthesising in perception is not my intellect making mediate inferences but rather "my body as the field of perception and action." As Alva Noë says: "Perception isn't something that happens inside us," he says. "It's something we do." Noë says:

> Perceiving isn't representing, or even presenting; it is *enacting* perceptual content – that is to say, making contact with the world through skillful exercise.

Merleau-Ponty himself similarly speaks of perception as an action. But Husserl too emphasises constantly the actional element in perceiving. Both Merleau-Ponty and Husserl tried, for instance, to correlate certain kinds of chains of movement of the eyes, head, neck, muscles, and so on, to certain revealed chains of profiles of the object in question. When I look at a particular spot on ceiling, I know I can trace a line with my eyes from that spot to one further to the left. That experience is not just felt to be a certain "I can" or physical possibility in me (my ability to move my eyes or tilt my head) but I experience this evolving sensory panorama precisely as an intrinsic feature of the object seen.

I do not see the unseen parts of the table. I see the table and recognise (perceptively) that there are further profiles to be gained, further fillings to be filled in, but these profiles, for Husserl, have to be given *intuitively and not through inference or reasoning.* As Alva Noë writes (without reference to Husserl and phenomenology, but merely as a fact about perception):

> Presence in absence, or amodal perception, is … a hallmark of *normal*, *veridical* perception. When you look at the apple, you have a sense of its presence as a voluminous whole, even though you only actually see its facing side. (Alva Noë, "Real Presence")

To say that we see an object from one side is not to deny that we actually see the object itself. Husserl makes this clear in *Ideas I* § 138. Despite the inadequacy of each one-sided perception, what "properly" appears cannot be separated from the perception of the thing as a whole. The side that properly appears is really a non-self-sufficient part of the whole that is the "sense" of the perception (*Ideas I*, p. 331; Hua III/1 286–7). In terms of his analysis of the essence of perception, Husserl maintains that what we think of as peculiarities particular to us are actually eidetic insights that belong to the Idea of a physical thing as such. A material thing unveils itself in endless spatial profiles. Even God can only grasp a physical thing in profiles (*Ideas I* § 149, p. 362; Hua III/1 315). Similarly a material thing also reveals itself in perception in a series of temporal moments. Not even God can alter this eidetic truth (DR XVI 65). Unrolling in spatial and temporal profiles pertain to the essence of a material thing (DR XVI 66).

Husserl lays stress on the harmonious nature of such progressive fulfilments. Certain prefigurations get filled in intuitively while new expectations are opened up.

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[23] Alva Noë, *Perception in Action* (Cambridge, MA: MIT Press, 2004).

Proper to every appearing thing of each perceptual phase is a new empty horizon, a new system of determinate indeterminacy, a new system of progressing tendencies with corresponding possibilities of entering into determinately ordered systems of possible appearances, of possible ways that the aspects can run their course. (APS, p. 43; Hua XI 6)

8 Normality

Husserl, like Merleau-Ponty, puts considerable emphasis on the role of normality in our experience, for example, seeing things in daylight is the *normal* perceptual state:

At the same time, certain conditions prove to be the "normal" ones: seeing in sunlight, on a clear day, without the influence of other bodies which might affect the color-appearance. The "optimum" which is thereby attained then counts as the *color itself* …. (*Ideas II* § 18b, p. 64; Hua IV 59)

A particular colour presents itself as belonging to the thing itself, even though the aspects of this colour are constantly changing. "A privilege attaches to clear daylight" (*Ideas II*, p. 65; 59). Similarity seeing in air (as opposed to through water) is also considered part of the normality (*Ideas II* § 18b) or seeing through transparent glass. Similarly we can have abnormal contact. Touching something with my tongue. Touching something with a blister on my finger (abnormal change in the organ) *Ideas II* p. 66; 61. If I ingest santonin[24] the whole world seems to change, altering colour. (*Ideas II*, p. 67; 62). Merleau-Ponty often uses examples which alter the flow or the expectation of change the outcome (e.g. mescalin). Alva Noë does the same when he reports patients recovering from cataract operation who see the changing profiles of a ball rolling.

When I see the corner of the table, do I actually perceive it as rectangular or as presenting to me as an acute angle. When I see the top of the cup, does I apprehend it as round or as elliptical? In one sense I have to say the question is misplaced since round/elliptical, right-angle/acute are not categorisations that belong immanently to the human perceptual process as experienced. I don't really apprehend geometric shapes (*qua* geometrical) at all. I encounter various forms of spatial depth. In another sense I see/apprehend it *as round* and my careful adjustment of my gaze and with a will to see it otherwise (as if I were a sketch artist about to render the angle of the table perspectively in a drawing) I can see it as elliptical. So it is really presenting to me as "*round-looking-but also capable of looking-elliptical-from-this-perspective once I attend to it*." Now it is clear that such content can be learned and one can learn to discriminate it more acutely. We can be taught to be more discriminating, to identify different texture of fabric to distinguish between the letter "I" and "l" or "v" and

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[24] A colorless crystalline compound, $C_{15}H_{18}O_3$, obtained from a species of wormwood, especially santonica, and used as an anthelmintic (i.e., to kill intestinal worms).

"u", to distinguish (if not to name) different aspects and locations of a taste (fore and after, etc.). Tasting and touching are both actions, activities. We taste by rolling something around the mouth; we feel smoothness only by moving our fingers over it.

Some senses such as sight are distal and require taking up an optimal distance from the object. Husserl here even raises the question as to why we cannot lie our eye along the thing and see it from zero distance (*DR*, p. 109; XVI 131).

9   The Natural Attitude and the Transcendental Attitude

Let me now finally turn to an area where Husserl and Merleau-Ponty are supposed to fundamentally disagree. Husserl often speaks of the need for philosophy to adopt the transcendental attitude of the "disengaged", "non-participating spectator" (*unbeteiligter Zuschauer*, Hua XXXIV 9), or "disinterested spectator" (*uninterestierter Zuschauer*, XXXIV 11). At the same time, Husserl emphasises that all attitudes, including the philosophical attitude, have to take cognisance of embodied life in the life-world as the ground for all being and validity. There seems to be an impasse. Husserl wants the universal *epochē* to break free from the hold of the natural attitude in order to make visible constituting subjectivity, but at the same time one can never break free from the all-encompassing life-world, from finitude and facticity.

Husserl explicitly develops this tension as a paradox in the *Crisis*. Human beings are both subjects *in* the world and subjects *for* the world. In some of his unpublished manuscripts, Husserl went further and claimed that transcendental subjectivity requires an insertion not only into transcendental *intersubjectivity* (something Merleau-Ponty recognises and explicitly emphasises) but also into embodied subjectivity. Indeed, for Husserl, transcendental idealism requires that the world of real being be known not just by an actual (as opposed to possible) subject as such, but by an *embodied* subjectivity (*eine leibliche Subjektivität*, XXXVI 132).

How does Merleau-Ponty react to this? First of all, Merleau-Ponty agrees with Husserl's criticism of the manner the natural attitude can become distorted into the naturalistic, objectivistic attitude. Against this, Merleau-Ponty remains a committed *transcendental* philosopher, but he rejects the view that transcendental philosophy commits him to accept an all-constituting intellectual mind which is a transcendental subject. In this context in the Preface to his *Phenomenology of Perception* he criticises the way Husserl has been understood or has presented his own thought:

> For a long time, and even in recent texts, the reduction is presented [by Husserl] as the return to a transcendental consciousness before which the world is spread out and completely transparent, quickened through and through by a series of apperceptions which it is the philosopher's task to reconstitute on the basis of their outcome. (PP xi; v)

Merleau-Ponty, as we have seen, always portrays the transcendental ego of traditional idealist philosophy as a detached intellectual ego which merely contemplates the world or constitutes it solely out of thought. For Merleau-Ponty, it is a consequence of idealism that it sees all constitution as *Sinnbegung* (PP, p. 428; 490) whereby all meaning flows out from itself "centrifugally" (*toute signification est centrifuge*, PP, p. 428;

490). But this is a perversion of the true meaning of the transcendental turn for Merleau-Ponty. As he explains earlier in *Phenomenology of Perception*:

> A philosophy becomes transcendental, that is to say radical, not by taking its place in absolute consciousness (*en s'installant dans la conscience absolue*) without mentioning the measures which led it there, but by considering itself as a problem; not by postulating a knowledge rendered totally explicit, but by recognizing as the fundamental philosophical problem this *presumption* (*présomption*) on reason's part. (PP, p. 63, trans. modified; 76)

Here Merleau-Ponty correctly sees transcendental philosophy, rather as Husserl does, not as a set of doctrines, but as a radically self-critical approach that questions its own right to proceed as it does. Transcendental viewing, *theoria*, grows out of critical reflection on "naturalness" of the human condition, according to Husserl in his *Crisis*:

> Part of transcendental philosophy's own meaning was that it arose out of reflections on conscious subjectivity through which the world, the scientific as well as the everyday intuitive world, comes to be known or achieves its being-validity for us. (*Crisis* § 57, p. 201; VI 205)

The break with the natural attitude has to be accomplished but it also has to be justified. Or as Merleau-Ponty says there is need through a higher order reflection to transform the "phenomenal field into a transcendental field" (PP, p. 63; 77).

In contrast to the disembodied intellect, Merleau-Ponty's own notion of the transcendental subject is that of a situated and embodied source of meaning that unrolls temporally:

> What for us is primary (*originaire*) consciousness is not a transcendental Ego freely positing before itself a multiplicity in itself, and constituting it throughout from start to finish, it is an *I* which dominates diversity only *with the help* of time. (PP, p. 276 n.1; 320)

Elsewhere he says that the transcendental ego cannot be understood as something apart from time but rather subjectivity must be identified with temporality (PP, p. 425; 487). The empirical subject does not trail in the wake of the transcendental subject, Merleau-Ponty says (PP, p. 426; 488). Rather the subject awakens in time and finds time running through it from start to finish.

But is that really different from Husserl's account of transcendental subjectivity? Merleau-Ponty himself seems to think not, especially in his "The Philosopher and His Shadow" text where he quotes Husserl as saying: "*there is no constituting of a mind for a mind but of a man for a man*" (*Signs*, p. 169; 213). He goes on to say a little later in the same essay:

> Re-read, if you doubt it, the extraordinary pages [in *Ideas II*, p. 90; Hua IV 85] in which Husserl implies that even if we meant to posit absolute or true being as the correlative of an absolute mind, such an absolute being would not merit its name unless it had some relationship to what we men call being. We and absolute mind would have to recognize each other, as two men "can only through understanding each other recognize that the things one of them sees and those the other sees are the *same*." (*Signs*, p. 171; 216)

In the passage in question, Husserl is asking whether an absolute spirit (such as the traditional God) can be said to see the same things as we do. If we see sensory qualities and God sees other intellectually-accessible properties of the thing, then we cannot be said to see the same thing. Husserl goes on to say:

> Obviously, the absolute spirit would also have to have a body for there to be mutual under-
> standing, and thus the dependency on sense organs would have to be there as well. (*Ideas
> II*, p. 90; IV 85)

This passage is not directly about the transcendental ego, but is in fact, a critique of
the notion of an absolute viewpoint on objective nature. Husserl maintains that
nature is intersubjectively constituted by beings with bodies and even if new spirits
are introduced into this nexus "they must do so by means of their bodies" (*Ideas II*,
p. 91; IV 86).

Husserl himself does speak of the need to understand the transcendental ego not
as a detached self but rather has to recognise that it is the same as the self I enjoy
as a "man among men" (Hua XXIX 117–18). There is only one single self, not two.
Similarly, Husserl maintains, Kant never grasped the transcendental problem of
intersubjectivity (XXIX 118) and never penetrated through to genuine transcenden-
tal subjectivity (*Crisis* § 57, p. 199; VI 202). It is always necessary to posit both
empirical and transcendental subjectivity and to recognise also their identity:

> I myself, as transcendental ego, constitute the world, and at the same time, as soul, I am a
> human ego in the world. (*Crisis* § 57, p. 202; VI 205)

There is a fundamental *paradox* of the "identity and equally of the essential differ-
ence" between psychological and transcendental subjectivity (XXIX 118). This is
a major theme in Husserl's writings, especially in the *Crisis* § 57. The answer for
husserl is that I cannot have generated the world out of myself, and hence I have to
make "consciousness of intersubjectivity" a "transcendental problem" (*Crisis* § 57,
p. 202; VI 206)

In saying much the same thing about transcendental intersubjectivity, Merleau-
Ponty has very insightfully diagnosed the more complex Husserl beneath the cari-
cature of the Cartesian solipsistic philosopher. As Merleau-Ponty acknowledges:

> By moving to the pre-theoretical, pre-thetic or pre-objective order, Husserl has upset the
> relationships (*a boulversé les rapports*) between the constituted and the constituting. Being
> in itself, being for an absolute mind, from now on draws its truth from a "layer" where there
> is neither absolute mind nor the immanence of intentional objects in that mind, but only
> incarnate minds (*des esprits incarnés*), which through their bodies "belong … to the same
> world" (Hua IV 82). (*Signs*, p. 172; 217–18).

Husserl's most complex thought on the manner in which transcendental subjectivity
requires mundanization in finite embodied subjects is now more clearly known to
us as a result of publications from the *Nachlass* including the intersubjectivity vol-
umes[25] and the volume on transcendental idealism.[26] But it was very early, and on
the basis of much slimmer resources, already identified in its main elements and in
its tensions, ambiguities and paradoxes by Merleau-Ponty. In his case, contrary, to
what he asserts, commemoration is not also betrayal.

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[25]E. Husserl, *Zur Phänomenologie der Intersubjektivität. Texte aus dem Nachlass*, 3 vols, Hua
XIII, XIV and XV, hrsg. I. Kern (The Hague: Nijhoff, 1973).

[26]E. Husserl, *Transzendentaler Idealismus. Texte aus dem Nachlass (1908–1921).* Hrsg. Robin
Rollinger & Rochus Sowa. Hua XXXVI (Dordrecht: Kluwer, 2003).

Making the Case for Gestalt Organization: Edmund Husserl and Aron Gurwitsch on the Problem of Independent Parts

Daniel Marcelle

1   Introduction

1.1   *Lester Embree, The Great Phenomenological Organizer*

Dr. Lester Embree has done much to advance phenomenology through his many presentations and publications,[1] but his greatest contribution lies in his worldwide promotion of the tradition through the organization of phenomenologists through meetings, groups, and volumes. A brief history of some of Embree's key involvements in this regard demonstrates this. Even before he had earned his Ph.D. from the New School for Social Research in 1972, Embree was already involved in founding an important North American based but internationally comprised phenomenological organization, the Center for Advanced Research in Phenomenology, Inc. (CARP), in 1971. Just two years later he would organize his first symposium, notably in memory of his dissertation advisor Aron Gurwitsch, the papers of which were prepared by Embree into a volume and published. The success of these two projects would encourage many more organizations, meetings, and volumes.

Embree went on to organize twenty-four conferences and symposia and co-organize sixteen more. Thirty of these meetings developed into published volumes. He has a fondness for co-organization and co-editing for the reason that he was often able to share his organizational knowledge as well as the labor with colleagues, who would not only be aided in their careers but also promote phenomenology. Of the total number of organized and co-organized meetings, eighteen were held on foreign soil.

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[1]He has 144 presentations recorded in his current C.V. of which two-thirds are outside of North America; he has edited or coedited at least 33 volumes; he has published at least 208 articles, editions, introductions, and translations; and he has produced three books, one of which is now available in eight languages.

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All of those held in North America, though, need to be considered international in terms of their participants, which came from all parts of the world.

Embree served as president of CARP from 1984 to 2005. During these years he worked hard to establish firm and productive international connections as he encouraged the widening of CARP's focus from just that of North America and Northwestern Europe to also include Eastern and Southern Europe, South America, Japan, Korea, Taiwan, China, and India. Representing CARP he either witnessed, provided support, or both for the founding and meeting of the following important regional organizations: Círculo Latinoamericano de Fenomenología (CLAFEN), the Nordic Society of Phenomenology (NoSP), the Central and European Conference on Phenomenology (CEECOP), Phenomenology for East Asia CirclE (PEACE), and Reseau Euro-Mediterranean de Phénoménologie pour le Dialogue Intercultural (REM).

We also have to note that it was Embree who organized and directed the tremendous international effort that went into the writing and preparation of the *Encyclopedia of Phenomenology*, which was published in 1997 and has become a standard resource for phenomenologists. In addition, he founded the "Newsletter of Phenomenology" in 2002 to provide international and multidisciplinary phenomenologists with a variety of news, including various publications, calls for papers, conferences, etc. Today, there are 3,155 subscribers to the Newsletter. Embree also keeps a frequently updated list of worldwide phenomenological organizations on the CARP website. As of today, 163 active organizations have been identified.

One of his greatest achievements is the conception and inspiring work to found the Organization of Phenomenological Organizations (OPO) in 2002. This organization is interesting because it is the place where delegates of phenomenological organizations of various disciplines from across the planet can meet and productively interact with one another; its members are organizations that themselves have members. Already there have been three successful triennial meetings of the OPO in Prague, Lima, and Hong Kong, and a third is planned for 2011 in Spain. Embree is currently working to establish a regional society for North American phenomenology and an international organization for political phenomenology. Serving as the William F. Dietrich Fellow in Philosophy at Florida Atlantic University for the past 5 years as Embree's assistant has given me a privileged understanding and a tremendous appreciation of Lester Embree as the great phenomenological organizer.

1.2   Introduction to the Problem

In honor of Lester Embree's seventieth birthday I would like to make organization and the work of his teacher Aron Gurwitsch my themes through a phenomenological analysis of the problem of independent parts that prepares the way for the introduction of gestalt theory into phenomenology. Independent parts are parts of wholes that have the capacity to either exist or appear on their own apart from any whole. The core of the problem concerns the identity or meaning of such parts and

how these parts are organized into wholes of various kinds. What happens to the meaning of a part when you remove it from one whole, add it to another, or simply consider it on its own apart from any whole? Does such remain the same in all cases or does it undergo profound changes? First we will consider elemental organization, which is the modern scientific theory of organization. According to this conception, all parts are absolutely independent in the sense that they strictly maintain their identities in all cases and act as the basic elements from which all things are made. We will then go on to explore Edmund Husserl's more sophisticated theory of part-whole organization in which he introduces a new kind of whole known as a figural moment as well as a new kind of part that is dependent in nature in addition to a detailed discussion of independent parts and their organization. Aron Gurwitsch is quite interested in Husserl's discussions of figural moments and dependent parts and sees within them a kind of incipient gestalt theory. Independent parts, though, pose a problem for Gurwitsch. It is his conviction that such parts that strictly maintain their identities in all cases are impossible. Rather than conceiving of wholes as being composed bottom-up by their parts like building-block structures, Gurwitsch convincingly makes the case that it is rather from the top-down; parts are determined as to their meaning and properties by the roles they play within the whole – meaning is a function of the whole. Thus, when a part is either isolated or altogether removed from a whole, it undergoes profound transformations and can really no longer be considered to be the same part. No part is an island, entire of itself[2]; it is the structure and organization of the whole, then, that is essential for these matters. It is in this way that the ground is prepared for the introduction of some gestalt theory into phenomenology.

2   Elemental Organization

Parts of wholes, according to elemental organization, are independent pieces that maintain their identity both when combined with other parts in wholes or isolated and on their own; they are the "elements" or "atoms" of reality, not in the strict modern scientific sense but rather in the sense of basic parts from which all possible objects are composed. Clearly this is an ontological position; objects in reality are considered to be organized in this way. The elemental whole is considered to be merely an association, aggregation, bundle, or summation of more basic parts whose relationship to one another and the whole is merely adventitious.[3] Such can be thought

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[2]Alluding to John Donne's 17th Meditation.

[3]Gurwitsch (1929), p. 186. Here Gurwitsch writes: "Element is added to element, their relatedness consists exclusively in their co-existence.… Since the elements are simply juxtaposed to one another, their totality simply presents a sum; an adequate noematic description would have to be no more than an enumeration: this and this and that, etc. In the enumeration, the elements stand side by side as *equipollent items*, connected to one another solely by an 'and.'"

of as the "building-block" model of organization; like children's building-blocks, pieces can be put together to form various objects and then be recombined into other formations without changing or affecting the identity of the blocks in any way. Now the block is in one formation, then it is in another, but throughout remains exactly the same block: "An element exists by itself and derives no qualifying character from other elements with which it happens to co-exist."[4] Elemental organization is asymmetrical in the sense that the pieces are thought of as contributing their characteristics to form the whole with all of its features and attributes, while not suffering any substantial alteration themselves; the whole gets everything from the pieces and is nothing more or other than this summative collection. Gurwitsch explains: "By its very definition, a sum is a set of self-contained elements, all entirely indifferent to one another. No sum exhibits features which cannot be reduced entirely to properties of the component elements."[5]

Elemental organization entails a molecular rather than a molar or organic orientation; a molecular orientation is one that emphasizes the importance of the parts in the composition of wholes, i.e. bottom-up, while a molar or organic orientation places the importance of the part-whole relationship on the whole, i.e., top-down.[6] According to the molecular view, it is assumed that if one wants to come to understand the whole, it is best to come to individually understand the parts that compose it; the assumption is that genuine reality is to be found in the most basic or elemental parts. Elemental organization is the manner in which wholes and parts are conceived of by the natural sciences in general.[7]

An important and, it will be seen, problematic feature of elemental organization is the conception of such parts as absolutely self-sufficient in the sense that they are independent and maintain their self-same identity whether they are isolated on their own or part of some whole; "whether combined with one another or not, the elements as such are the same. The dissolution of a complex yields the very same elements separately which previously had been given in conjunction."[8] In another text Gurwitsch writes: "Traditionally the concepts of whole and part have been

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[4]Gurwitsch (1957), p. 123.

[5]Ibid., p. 74.

[6]See Koffka (1935), pp. 25–27 for an explanation of the molar/molecular distinction. Koffka applies this distinction to the problem of behaviorism claiming that the behaviorists have a molecular orientation. He then draws out some of the problems of this orientation.

[7]See Wertheimer (1922), p. 1, and (1925), p. 2. See also Descartes's *Rules for the Direction of the Mind*, specifically Rules V and VI. This is clearly Descartes's method and, other than his effective mathematicization of nature, should be considered his "contribution" to the scientific method; analyze complexities down to their "simple natures" and then by synthesis reconstruct the whole, but now with clarity and distinctness. "Contribution" is not meant in the positive sense. From the gestaltist standpoint, both the reduction to elements and the relentless mathematicization of nature are negative and considered to be the great errors of modern science. In physics this can be seen as the push to discover the atoms, meant in the etymological sense of indivisible or smallest part, from which everything else is composed; somehow the relationships and properties of these things must translate into and explain everyday reality.

[8]Gurwitsch (1929), p. 259.

defined in terms of elements which may be experienced both in isolation and in grouping without being internally affected by either mode of appearance. It had been taken for granted that elements preserve their identity whether they are grouped or not."[9] Along these lines, Gurwitsch captures the problem of elemental organization concisely: "Our problem is then to understand how parts and qualities, which by their nature are not dependent upon one another, become related to each other when they enter into the unity of *one* thing-noema."[10] If the parts of things that one perceives are absolutely independent of one another, how is it then that we can ever come to perceive wholes? While the conception of parts as independent is a problem, contributing greatly to this is the problem of thinking about organization only in colligative or summative terms, which is the only way such parts could form wholes.

3   Husserl's Theory of Organization: Figural Moments and the Distinction of Independent and Dependent Parts

Husserl's interest in matters of organization arose out of his philosophical investigations concerning mathematics, specifically epistemological and ontological problems therein.[11] Husserl's theory of figural moments can be traced back to his interest in the manner in which we intuit and apprehend collections of objects either similar or dissimilar to one another; for instance, when one encounters a school of fish, a swarm of insects, a large gathering of people, a heap of refuse, a row of corn, etc.,[12] do we come to the idea of a school, swarm, gathering, row, etc., by colligatively perceiving each of the individual members one by one or are such things immediately apprehended? It would seem that most of such cases are too numerous to genuinely apprehend through the process of perceiving each part of that collection individually, yet we somehow still have the perception of the whole. Rather, the latter possibility is the case, the collection of objects is perceived immediately and instantly as one whole by a single mental act, rather than by synthesizing each part individually over a necessary period of time.[13] Husserl came to name this whole a "figural moment" and explored some of its peculiar properties, which are very similar to that of von Ehrenfels's gestalt qualities.[14]

[9]Gurwitsch (1957), p. 144. This discussion continues pp. 147–148.

[10]Gurwitsch (1929), p. 186; see also (1959), p. 344.

[11]See Farber (1943), pp. 74–75.

[12]Gurwitsch extends such examples to also include a much wider range of phenomena including spatial examples such objects spatially distributed in some way in the visual field, i.e., a checkerboard pattern, and rhythmic examples in aural sensation. (1957), pp. 71–72.

[13]Husserl rules out time as a necessary moment of pluralities in the second chapter of his *Philosophy of Arithmentic* (1891).

[14]Ehrenfels published "On Gestalt Qualities" in 1890 and Husserl published *Philosophy of Arithmetic* in 1891 in which he discusses figural moments at length. Gurwitsch translates Husserl's

The properties of figural moments are such that they are collections perceived immediately without any colligating or categorial activity. Also, if such a whole is a group of common things, their similarity is likewise immediately intuited without comparing each individual to all the others or some prime example. In the case of dissimilarities of what may be called groups of seemingly unrelated items such as an unsorted or chaotic pile of objects, there is still a kind of figural moment for such rather than a sum. Gurwitsch describes this: "the aspect of a chaotic confusion … cannot be accounted for solely in terms of individual contributions of elements, conceived of as entirely independent of one another."[15] In such cases, the whole is not the outcome of colligative mental activity but is instead something inherent to the perception itself, which is what will capture Gurwitsch's interest. The plurality is not a simple sum of unorganized things, rather it is a plurality that displays a kind of organization that is internal to the perception; the things appear as parts that belong together in the same whole. Gurwitsch defines a simple sum in the following manner: "By its very definition, a sum is a set of self-contained elements, all entirely indifferent to one another. No sum exhibits features which cannot be reduced entirely to properties of the component elements."[16] While simple sums are descriptive of basic elementary organization, Husserl's figural moments are something more than the mere addition of independent element to independent element as though all complex objects were constructed out of building blocks, such are rather organized wholes in which the parts themselves contribute to that whole through their interrelations with one another. The collective absolutely depends on the parts and the parts in nowise depend on the whole or other parts.

Like the wholes or collections of simple elemental organization, though, figural moments are also absolutely dependent on their parts. This is the asymmetrical relationship that we have seen with basic elemental organization of the parts contributing to the whole. Gurwitsch points out that such can be seen in the fact that variation of such parts in most case leads invariably to the destruction of the qualitative aspect of figural moments. For instance, if a column of soldiers becomes "at ease" the column is destroyed. Such dependence, though, has nothing to do with the independent and immediate presentation of the figural moment itself with regard to its parts. What is here meant by independence is simply that it is not necessary to individually apprehend each part in order to apprehend the whole, though it is impossible for a figural moment to be without the simultaneous presence of its parts. In summary, then, we can say that figural moments are a strange combination

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figurale Momente as "figural factors." See Gurwitsch (1949), p. 362 note 8: "we wish … to point out that the phenomena referred to by Husserl are the same which C. von Ehrenfels studied in his important article, 'Über Gestaltqualitäten'"; see also (1957), p. 71. Husserl himself writes: "These 'moments of unity' are of course the same as the contents called 'form qualities' by von Ehrenfels, 'figural' moments by myself, and 'founded contents' by Meinong." (1901), III, §4. Gurwitsch discusses figural moments to some length in the following texts: (1929) pp. 252–253; (1936) 9–10; (1949) pp. 361–362; and (1957) pp. 71–84.

[15] Gurwitsch (1957), p. 75.

[16] Ibid.

of independence and dependence in terms of their relationships to their parts; while they are dependent on their parts in the sense that they cannot exist without them, they are independent of them in the sense that they are not a mere colligation of their parts.

In order to explain how it is possible to have either an experience of the individual parts or that of a genuine plurality, i.e., school, heap, row, etc., Husserl resorts to Stumpf's concept of "fusion" (*Verschmelzung*) by which the elements and their relationships come to form the quasi-sensory and quasi-qualitative figure of the whole.[17] When the requisite parts are either simultaneously present or experienced in the proper order, by relation of these parts the figural moment appears. In the first case think of a musical chord of two or more tones simultaneously played; one does not hear each tone individually, but the new quality of their fusion. In the second case, a melody exemplifies the way in which notes fuse into a tune. It is not by some productive mental activity that it is believed that fusion occurs; such is a matter of the sensibility, which explains their immediacy. By fusion the multitude of objects appear as parts of a sensible total and not elements of a sum. It is important to point out that Husserl does not believe that fusion in any way alters the sense data or individual parts; a part of a figural moment is the same whether is a part of the appearing figural moment or considered on its own. The relationship of fusion is important because later it will develop into Husserl's concept of foundation, which will play an important role in his theory concerning the organization of wholes and parts.

Husserl's exploration of figural moments continued and expanded into a more thorough and clear treatment of the organization of wholes and parts roughly a decade later in the entire third of his *Logical Investigations* entitled "On the Theory of Wholes and Parts." There he defines and distinguishes independent and dependent parts, the concepts of relative independence and dependence, analytic and synthetic propositions, the concepts of abstract and concrete, and discusses the relationship of foundation, all with the aim of developing a kind of logic that will serve as the backdrop and foundation for the development and organization of phenomenological analysis.[18]

Husserl begins his discussion with a general description of objects and their possible relationships to one another in terms of parts and wholes: "Every object is either actually or possibly a part, i.e., there are actual or possible wholes that include it."[19] Objects are either possibly or actually wholes of parts or coordinated

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[17]Gurwitsch discusses fusion in (1929), pp. 257–258; (1936), p. 10; and (1957), pp. 78–84.

[18]Husserl writes in his forward to the second edition of the *Logical Investigations* of the importance of the third Investigation: "I have the impression that this Investigation is all too little read. I myself derived great help from it: it is also an essential presupposition for the full understanding of the Investigations which follow." (1913c, p. 49). Following this latter statement, we could also say that such is for the full understanding of phenomenology, which is certainly the implication. This helps to give us a sense of the importance of whole-part theory for phenomenology in general, which was also described at the beginning of this part above. See Sokolowski (1977) for an excellent and concise discussion of how the logic of wholes and parts plays out in the rest of the *Logical Investigations* and, thereby, phenomenology in general.

[19]Husserl (1913c), III, §1.

parts of wholes. We may go further, then, and say that wholes may either be complex or simple: "The terms 'complex' and 'simple' are therefore defined by the qualification of having parts or not having parts."[20] If an object is articulated into other parts, such as an automobile (wheels, engine, seats, etc.), human body (brain, spleen, skin, etc.), consciousness (noeses, noemata, protentions, etc.), and so on, then it is a complex or articulated whole; if such is rather a whole that is of one homogeneous content that cannot be divided up, then such is simple or unarticulated.

After this general analysis of wholes, Husserl then goes on to make the distinction of independent and dependent parts.[21] The ordinary or common understanding of parts is that of independent parts or contents.[22] Such is a part that can exist or be presented on its own without the existence or presence of another part, that is, it is separable and self identical in the sense that it remains the same whether it is a part of a whole or not, which will be a point of some interest for Gurwitsch; basically, these have many of the same properties as the elements described above. Dependent parts are not so separable or isolatable in that they require the existence or presentation of some other part to supplement their own existence and presentation; it is flatly impossible to remove or isolate a dependent part from the part, content, or whole upon which it depends: "The content is by its nature bound to other contents, it cannot be, if other contents are not there together with it."[23] Husserl clearly makes this distinction: "We have independent contents wherever the elements of a presentational complex (complex of contents) by their very nature *permit their separated presentation*; we have dependent contents wherever this is not the case."[24] Fruit of a tree is an excellent example of independent parts; we may either view them as parts of a greater whole or physically remove them and consider them isolated from the rest of the parts. Examples of dependent parts that Husserl poses include the strong example of color and extension; while it is possible to vary either of these dependent parts without limit within their own kind, it is impossible for one to be presented or exist without the other.[25] For instance, I may vary the color or extension of a ball, but I cannot vary it so that I

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[20] Ibid.

[21] Husserl uses the terminology of independence and dependence, but it also needs to be pointed out that he introduces the terms "pieces" and "moments" respectively to stand for independent and dependent parts. For simplicity's sake, I will in each case qualify parts as independent or dependent and avoid the latter terminology. It should also be pointed out that Findlay's translation of the German is very uncomfortable in English. He translates *Unselbständigkeit* as "non-independence" and *Abhängigkeit* for "dependence." Instead of non-independence, I will also use dependence in such cases for clarity of expression and understanding.

[22] Husserl (1913c), III, §2. "Where one talks of 'parts' without qualification, one generally has the *independent* parts (those referred to as 'pieces') in mind."

[23] Husserl (1913c), III, §5.

[24] Husserl (1913c), III, §2.

[25] It is interesting to point out that the method of imaginative variation is consistently employed in discerning the laws of the combinations of various parts and wholes.

have a colorless ball or some color that has no extension, while I may vary the shape and size of the ball freely just so that it remains colored in some way. Hue, saturation, and brightness are also examples of dependent parts of color; it is impossible to have any one of these things without there being a color upon which these things depend. According to Husserl, the dependence of such parts is an essential necessity: "The inability-to-exist-by-itself of a non-independent [i.e., dependent] part points therefore to a law of essence, according to which the existence of a content belonging to the part's pure species (e.g. the species of color, form etc.) presupposes the existence of contents of certain pertinent pure species. ... Non-independent [i.e., dependent] objects are objects belonging to such pure species as are governed by a law of essence to the effect that they only exist (if at all) as parts of more inclusive wholes of a certain appropriate species."[26] Dependent parts do not and cannot depend on anything whatsoever, such combinations and relationships are governed by a priori law; certain members of certain species may only depend on certain other members of species. Again, color depends on extension and vice-versa; to widen our examples, species are relatively independent in relation to their genera, and abstracta are dependent on their concreta. It will be seen later that such essential necessities will play a significant role in the formation of wholes for Husserl.

Relationships of dependence may either be reciprocal or asymmetrical.[27] Two parts that mutually depend upon one another are reciprocal, the best example of which is, again, that of color and extension. Dependent parts in which dependence is not reciprocated by the other part are asymmetrical relationships of dependence. Here we may also introduce the distinction of the terms concrete and abstract.[28] For Husserl, a *concretum* is an independent part or object that of itself may be taken as a whole, while an *abstractum* is dependent in the sense that such may only exist or be presented as a part of a whole; something abstract is a dependent part that therefore must be completed by some other part or dimension.

It is, of course, possible to have parts of parts of wholes to an indefinite degree, meaning that there really is no limit to the string of parts that are parts of other parts, and these are also definable in terms of independence or dependence and are generally known as relative parts.[29] Relative parts may be either mediate or immediate parts of other parts or wholes. If a part's relationship to a whole is necessarily mediated through other parts it is a mediate part, while it is immediate if no such mediation is required.[30] For instance, fingers are immediately parts of the human

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[26] Husserl (1913c), III, §7. The author's emphasis has been removed, the American spelling of color is substituted for the British "colour," and Species has been decapitalized.

[27] Husserl (1913c), III, §16. Husserl uses the terminology of "one-sided" rather than asymmetrical, which I will employ.

[28] Ibid., §17.

[29] Relative independence and dependence are discussed in §13.

[30] Ibid., §16 and §18.

body as well as are the digestive organs, but the hue of one's skin is a part of that skin only through the mediation of color; hue is a dependent part of color and color is a dependent part of skin, therefore hue is mediately a part of skin. In this way it is possible to think of some parts as being more remotely or distantly related to the same whole than other parts. For instance, color is a part that is nearer to a physical object than is brightness or hue. In order to further illuminate this distinction it is possible to think of massively complex wholes such as the world of the artist or the government of the European Union.

The distinctions that we have made above now make it possible to discuss the concept of foundation, which is what makes wholes out of parts for Husserl: "The only true unifying factors, we may roundly say, are relations of 'foundation.'"[31] Really we have been discussing foundation all along, but have not yet made it explicit. We may simply describe the foundation relationship in formal terms: some part A is *founded* on another part B if A cannot exist without B.[32] Stated in the opposite direction, we may say that some part or whole A *founds* part B if B cannot exist unless A exists. Foundation is really just a relationship of dependence. Foundation may be reciprocal or asymmetrical in the manner that has been described just above. Thus far we have been distinguishing and cataloging the various kinds of parts there are and discussing their properties, but now with the concept of foundation it is possible to come to define wholes and understand how various kinds of wholes are organized. The general or pregnant concept of whole that is arrived at by way of foundation is defined by Husserl in the following way:

> By a Whole we understand a range of contents which are all covered *by a single foundation* without the help of further contents. The contents of such a range we call its parts. Talk of the *singleness of the foundation* implies that *every content is foundationally connected, whether directly or indirectly, with every content*. This can happen in that all these contents are immediately or mediately founded on each other without external assistance, or in that all together serve to found a new content, again, without external assistance.[33]

Thus, a whole is something that is related to all of its parts by one relationship of foundation and all parts are somehow foundationally connected with all other parts. This is, of course, quite vague and requires a little more delving. Now we can make the distinction of wholes of dependent parts, wholes of independent parts, and wholes comprised of both kinds of parts in terms of foundation, which tend to be

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[31] Ibid., §22.

[32] Husserl defines association in the following way: "If a law of essence means that an A cannot as such exist except in a more comprehensive unity which associates it with an M, we say that an A *as such requires foundation by an M* or also that *an A as such needs to be supplemented by an M*. If accordingly A_0, M_0 are determinate instances of the pure kinds A or M, actualized in a single whole, and standing in the relations mentioned, we say that A_0 *is founded upon M_0*, and that it is *exclusively* founded on M_0, if A_0's need for supplementation is satisfied by M_0 alone." Husserl (1913c), III, §14.

[33] Ibid., §21.

the kinds of wholes we encounter in everyday existence. Husserl discusses the first kind of whole as being founded on interpenetrative relationships, the second in terms of combinatory, and the third possibility in the following way: "The same whole can be interpenetrative in relation to certain parts, and combinatory in relation to others."[34] While the language of interpenetration, it will be seen, is quite similar to that of gestalt organization, combinatory evokes images of supervenient organization and even colligation or summation.

Understanding how dependent parts come to form wholes seems quite intuitive, without the relationship of foundation such parts cannot exist; depending upon some other thing or two or more things depending on each other for their existence surely is bond enough to hold a whole together. It is important to note that such foundation is not a kind of metaphysical "glue" binding them together, but rather, to continue the carpentry metaphor, more of a "dovetailing" or, we may even say as Husserl does, "fusion" of the parts themselves; the parts interpenetrate one another to the extent that they cannot exist or appear without that upon which they depend. Husserl writes:

> The concrete thing of sensuous intuition therefore owes its isolation to the qualitative gap between neighboring 'moments,' but the relief achieved by the whole concretum has priority over the relief of the mutually separated moments of its content. This depends on the peculiarly intimate *fusion* of the different 'moments' of the concretum, their mutual 'penetration,' which reveals itself in a mutual dependence as regard change and destruction. This *fusion* is not a fading into one another in the manner of the continuous, nor does it remove all separateness, but it is nonetheless a sort of peculiarly intimate mutual interconnection which must at a stroke set the whole complex of interpenetrating moments in relief, if only once a single discontinuous moment has provided the right conditions.[35]

But how do independent parts form wholes? In terms of a positive discourse on the way in which independent parts form wholes, Husserl does not extensively discuss such matters.[36] Sections 21 through 23 of the third of the *Logical Investigations* are where the topic is discussed, but the most extensive piece is about a paragraph's material in § 21 in which he vaguely discusses some kind of connection by which independent parts form wholes: "Where one speaks of connections, associations, etc., in the narrower sense, … i.e., wholes where contents relatively independent as regards one another – where the whole falls apart into its pieces – serve to found *new* contents as their 'combinatory forms.'"[37] According to Husserl, wholes including

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[34] Ibid.

[35] Ibid., §9, emphasis added. It is interesting to point out that the only discussion of fusion occurs in this section.

[36] It is interesting that Sokolowski (1977) declares that the organization of independent parts into wholes is not philosophically interesting. "Pieces [independent parts] and their relationships to wholes are not very important philosophically. Their greatest value is that they serve as a foil, as a contrary, polar concept allowing the concept of moment to be established." p. 98.

[37] Husserl (1913c), III, §21.

independent parts are not formed by being founded upon one another as dependent parts are, but rather by founding new contents; such parts come together and found a whole, which is founded upon the parts making it up, the whole cannot exist without the parts.

Unfortunately, Husserl does not further clarify how independent parts found new contents that stand as their combinatory forms, but he does spend time ruling out negative possibilities of how such combinatory forms should not be understood. First of all, combinatory forms are not to be thought of as some additional part that stands as the relation of unity in the concatenation of parts, which would lead to the age-old and well-understood infinite regress of the "third man" variety.[38] Rather, the only unifying factors in wholes are relations of foundation.[39] Next Husserl removes the possibility of thinking of wholes wherein some or all parts are independent in terms of a mere coexistence or aggregation of parts: "*a mere aggregate* or mere coexistence of any contents is not to be called a *whole*."[40] An aggregate is a categorial unity wherein the parts are collected into wholes through colligative mental activity. The problem with this conception is that such fails to explain how a new content is created and how such can be held together extrinsically in thought. Instead Husserl will make the claim that such wholes are combined according to synthetic a priori laws of essence.[41] For Gurwitsch, this is an interesting discussion for two reasons. On the one hand, he finds in Husserl's rejection of mere aggregation or summation an anticipation of gestalt organization, while, on the other hand, Gurwitsch will try to indict Husserl for some of the same problems that Husserl has just identified.[42]

In terms of a positive elaboration of how independent parts found the new content of a whole, I believe that Husserl's earlier discussion of figural moments is instructive as to how such unity should be understood. To remind, a figural moment is a complex whole that is formed by a fusion of its parts; when certain parts are present together either simultaneously or successively in the proper order these individuals blend or fuse into the new content of the whole. If fusion is

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[38]Ibid., §22. The point of an infinite regress engendered by thinking of foundation as yet another part of the whole is explored here.

[39]Ibid.

[40]Ibid., III, §23.

[41]Ibid. In addition, Sokolowski (1974) describes such in the following way: "The unity of an aggregate comes about in consequence of an act of collecting; it is correlated to an act of thinking in which several independent things are gathered into a categorial whole. But a whole which gives rise to pieces is originally given as a perceptual and continuous whole; its parts … are contained in it and only subsequently separated out." p. 10.

[42]Gurwitsch (1927), p. 260. There he writes: "with the [Husserl's] rejection of the interpretation of the situation [i.e., the formation of wholes] in a summative sense, the Gestalt thesis is already anticipated."

replaced with foundation, it is possible to more clearly understand how such independent parts form wholes. In such a whole the parts when combined or present together found a new content, which is the figural moment, and this content is, in turn, founded upon its parts. Husserl does discuss figural moments and fusion in the third Logical Investigation, but only in reference to the manner that dependent parts combine.[43] It would seem, though, that in the manner just explained such is applicable to the case of independent parts. It is interesting to point out that Gurwitsch thinks that for Husserl there is a figural moment in the case of independent parts, but not for dependent parts:

> Defining the concepts of whole, part, and unity in terms of the concept of "foundation," Husserl calls attention to the essential difference between the unity of color and extension and the unity between notes which compose a melody. In the latter case there is present, whereas in the former there is not, a datum additional to the unified parts, namely, a *figurales Moment*. Husserl explains this difference by the intrinsic and essential interdependence of color and extension, whereas the notes composing the melody may exist separated from, and are in this sense independent of, one another.[44]

> …

> The unity between the notes composing a melody manifests itself in the appearance of a new datum in addition to the notes, namely, the figural moment [figural moment] characteristic of the melody. In the case of a colored surface, however, color and extension are the only factors present to express their unity. This difference is due to the interdependence of color and extension and the independence with regard to each other of the notes composing the melody.[45]

There is not a figural moment in the case of dependent parts for the reason that such parts in their inseparability interpenetrate one another and interdepend on one another; the unity or whole is the parts in such cases, there are the parts, on the one hand, and then the whole, on the other. The classic example of a melody is useful in evincing this point. Musical notes or tones certainly meet the definition of independent parts because they can be ontologically and presentatively isolated; we may listen to a single note of a chord or melody individually. When these parts come together simultaneously they found the new content of a chord and successively a melody or song, which obviously could neither be presented nor exist without the individual tones. Thus, it is understood how Husserl conceives of dependent parts, independent parts, and some combination of these two, which is the most common case, combining to form wholes.

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[43]Figural moments are referred to in §4 in a discussion of Stumpf's examples of the combination of dependent parts. Fusion is discussed in §9 in terms of the mutual penetration of dependent parts.

[44]Gurwitsch (1957), p. 145.

[45]Ibid., p. 83.

4 The Problem of Independent Parts: Clearing the Way and Laying the Ground for Gestalt Organization

While Gurwitsch believes that Husserl's theory of wholes and parts is in many ways an advancement over what we find in traditional elemental organization, he believes that there are still some deep problems therein that are akin to those found in the traditional view, which ultimately prompt Gurwitsch to call for the replacement of Husserl's theory with that of gestalt organization. These problems all derive from Husserl's doctrine of independent parts. While Gurwitsch has no problem with the presentational isolability or separability of certain kinds of parts, the real problem concerns the strict identity of such parts, which is the assumption that they remain identically the same as a part of a whole or individually and alone. Gurwitsch strongly objects to this, rather pointing out the modifications and transformations, which are often radical and severe, that such parts undergo when they are either separated from or included in a whole. It is his strong conviction that a part is not the same object when separated from the whole as when it is included in it.

Husserl is quite clear about the strict identity of independent parts. Distinguishing these from inseparable dependent parts he writes: "It is self-evident, in regard to certain contents, [i.e., dependent parts,] that the modification or elimination of at least one of the contents given with them (but not contained in them), must modify or eliminate those contents themselves. In the case of *other* contents, [i.e., independent parts,] this is not at all self-evident; it is *not absurd to suppose them remaining unaffected despite the modification or elimination of all coexistent contents*."[46] Dependent parts, when modified or destroyed also modify or destroy the whole, while independent parts undergo no modification whatsoever when other parts of the whole are modified or excised. In Husserl's discussions of the isolability or even separability of independent parts we find a much stronger language of strict identity:

> Isolability means only that we can keep some content constant in idea despite boundless variation – variation that is free, though not excluded by a law rooted in the content's essence – of the contents associated with it, and, in general, given with it. *This means that it is unaffected by the elimination of any given arrangement of compresent contents whatsoever.*

> This self-evidently entails: that the existence of this content, to the extent that this depends on itself and its essence, is not at all conditioned by the existence of other contents, that it could exist as it is, through an a priori necessity of essence, even if nothing were there outside of it, even if all around were altered at will, i.e. without principle.[47]

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[46]Husserl (1913c), III, §3. Emphasis added.

[47]Ibid., §5. Emphasis added. For more on independent parts and their strict identity, see Husserl's *Philosophy of Arithmetic* as well, p. 231. Gurwitsch summarizes Husserl's doctrine of independent parts with stress to the strict identity of these in Gurwitsch (1927), pp. 258–259.

Gurwitsch is emphatic that such is the case with independent parts of figural moments as well: "Husserl and Stumpf … assert explicitly that sense-data undergo no modification when they found and support a form-quality [figural moment]. It must be remembered that sense-data upon which a form-quality [figural moment] are independent of one another, in the sense that they are separable from each other. Any one of them may be experienced without the others."[48] In addition, he discusses the fusion of figural moments in the following way, emphasizing the strict identity of independent parts: "*Verschmelzung* [i.e., fusion] does not modify or qualify the sense-data. The sense-data between which *Verschmelzung* occurs are not only unaltered by analytical discrimination, but also are experienced exactly as they would have been if they are not given in the relation of Verschmelzung."[49] It is thus clear that it is Husserl's position that independent parts or contents as he has defined them maintain strict identity in the sense that their existence is in no way affected by other parts or contents, but what about the appearance and meaning of independent contents? Does the appearance and meaning of such parts remain identical as well in modifications of inclusion or isolation, i.e., being added to or excised from a whole?

Regarding the possibility of modifications to independent parts or wholes of such parts, it is Husserl's position that when an independent part is either added to or isolated from a whole both undergo descriptive or apparent changes, but not real or essential changes. He writes: "Strictly speaking, the phenomenal thing or its piece, i.e. the sensuous phenomenon as such, the spatial shape filled with sensuous qualities, *never stays just the same in descriptive content* [after being separated from the whole]: but the content of such a 'phenomenon' does not at least involve anything entailing a self-evident, necessary, functional dependence of its changes on those of coexistent phenomena."[50] What Husserl means is that when we take something like the head of a horse, to use his example, and separate it either imaginatively or really from the rest of the horse and context, such renders 'descriptive' changes, meaning changes in the appearance of the content. The severed head of a horse certainly appears different without the rest of the horse as does the side of a triangle without the other two adjacent sides, but it would seem that it is his position that such apparent changes are not because of anything like a functional dependence on the other coexistent parts, which for Husserl is an essential impossibility for independent parts. It is clear that by descriptive, Husserl means something that is merely apparent and nothing more, but considering the methodological discussion above of the role of description in phenomenology, is it possible to take this to mean that the properties of independent parts are somehow beyond the scope of descriptive phenomenological analysis? Gurwitsch will not go so far as to explicitly

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[48] Gurwitsch (1957), pp. 68–69.

[49] Ibid., pp. 81–82.

[50] Husserl (1913c), III, §3. Emphasis added.

make this claim, but for him it is to the descriptive content that we should be primarily attuned for the reason that it is the primary phenomenological point of access; it is through their appearances that we find the things. For Gurwitsch changes in the descriptive content are indicative of essential modifications, which leads him to dispense with the notion of independent parts in this sense and advance the position that all parts of wholes are dependent parts for which functional dependence, as defined by gestalt theory, with the other coexistent parts of the whole is essential to each part. In the following quote, Gurwitsch defines his position and preludes a gestalt theoretic understanding of parts:

> We deny that a part extracted from a complex is and continues being experienced as the same as what it was within the complex. Complexes are not composed of elements which can be extracted from one complex, taken in isolation, then combined again into a different complex, and throughout these operations remain given as identically the same. Extracting a constituent from its framework and taking it in itself results in the appearance of a new and different theme in the place of the old one. No constituent of a structural framework is self-sufficient or self-contained, none has the properties and qualities pertaining to it once and for all, hence in all combinations. Every constituent must be considered with reference to the structural framework into which it is integrated *hic et nunc* and within which it has a certain function a plays a definite role.[51]

In terms of supporting his position, Gurwitsch believes that our everyday experience does not confirm the properties of independent parts or elements: "What is given in immediate experience is not adequately described when it is characterized as an aggregation of independent elements which accidentally occur together; such elements are so indifferent to each other and have so little intrinsic relationship that no element is in any way affected by any modifications of the other elements."[52] Thus, Gurwitsch employs actual concrete examples of extracting or isolating a part from the whole in order to demonstrate the kind of modifications that such must undergo. He discusses the example of a row of parallel lines.[53]

Clearly these lines are independent parts in the sense that Husserl has defined; it is possible to isolate each and any of these lines and consider them individually and apart from the rest of the whole as in Fig. 1. It is possible to isolate any of the lines, but for the purposes of this example we will do so with the leftmost line of the group.

Describing the changes that happen in this case of isolation, we can see that there is now much different about this line than there was when it was included in the row of parallel lines. All of the properties that pertained to it as part of the original framework are modified; it no longer has any of the functions that were derived from the configuration by being one of its parts: "if a constituent of a configuration is isolated and taken by itself as an independent and self-contained element, it may

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[51]Gurwitsch (1927), pp. 260–261. Emphasis added.

[52]Gurwitsch (1957), p. 114.

[53]Gurwitsch (1927), p. 241. Gurwitsch does not declare how many lines there are, just a row of them. These and more concrete, experiential, or experimental examples and evidence are available in Gurwitsch (1957), p. 117ff.

be affected so radically and by such deep reaching modifications as to destroy its phenomenal or experiential identity, the constancy of the external stimuli notwithstanding."[54] For Gurwitsch this is clearly a total and essential transformation of the part: "Whatever accrued to it as a constituent in a certain structural framework disappears as soon as it no longer pertains to that framework. The line is no longer the same as before; a different object has superseded it. A line as theme by itself (an isolated line) and a line as constituent of a configuration of lines are different objects having scarcely anything in common. … *It is not the same item differently apprehended, but it has become another throughout*."[55] Certainly the isolated line maintains the properties of width, length, and color, but it is no longer the leftmost
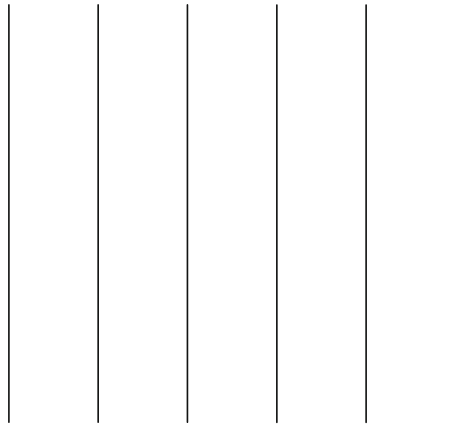
Fig. 1

Fig. 2

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[54]Gurwitsch (1957), p. 114.

[55]Gurwitsch (1927), p. 241f. My emphasis. Wertheimer writes: "To sever a 'part' from the organized whole in which it occurs – whether it itself be a subsidiary whole or an 'element' – is a very real process usually involving alterations in that 'part.'" (1922), p. 53.

terminal of six parallel lines, which is the role that it played in the group. When we view the line alone in Fig. 2 and then as part of the configuration in Fig. 1 the radical changes caused by isolation become quite apparent. We should point out, though, that while the isolated line undergoes radical change, the remaining structure of five parallel lines is still a row of parallel lines. Other than being one line less, nothing has changed for this figure. This is one of two possibilities in terms of isolation. The first possibility concerns cases in which isolation does not modify the gestalt structure of the figure from which the part has been isolated. Gurwitsch explains: "if the 'rest' already exhibits the structure of the whole so that the constituent in question fits into this structure without essentially contributing towards it, the Gestalt, though it is no longer given as theme, may continue exhibiting its characteristic structure, the severance of that constituent notwithstanding."[56] The second possibility is exemplified by Figs. 3 and 4 below. In such cases the isolated part plays an essential role in terms of its contribution to the structure of the figure. Without that part, the whole is not complete and cannot appear the same.

It is possible to imagine a good counterargument against this example. One could point out that the line maintains almost all of its physical properties such as length, width, and color, while its only apparent difference is its proximity to five other identical, parallel lines, which is where its happenstance role is allotted to it, thus the line is self-identical and independent. It is possible to undermine this counterargument by pointing out that it relies on assumptions derived from physics. There is the assumption that it is the quantitative properties of things that are its real or primary qualities and that qualitative properties such as membership and function

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Fig. 3

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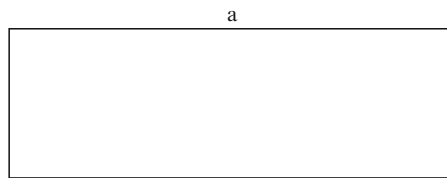
Fig. 4

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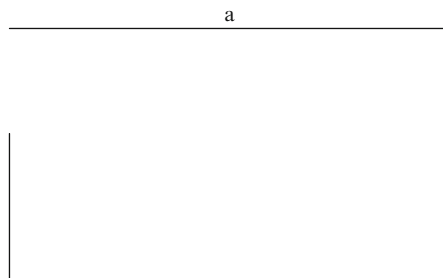
[56]Ibid., p. 242.

ultimately have no real bearing on these matters. Such assumptions are deeply ingrained in the scientific and philosophical tradition. Quantitative analyses, though, are only possible after sophisticated abstraction, which often goes unnoticed because of deep habits of tradition. When phenomenological description is engaged there is then a kind of primacy on qualitative matters such as things as and how they appear and then scientific properties are attainable by abstraction from these.

A stronger and possibly more convincing example for its intuitive power is that of a rectangle as seen in Fig. 3 below.[57]

In Fig. 3 above the shape is clearly that of a rectangle. There are four parts, being two vertical parallel lines of equal length connected in right angles at their ends to two horizontal parallel lines of equal length, but of different length than the first two lines. The topmost line has been labeled as part "a" for the purposes of this example. Most generally, we can describe the role of this line as being one of the four sides of a rectangle, specifically the topmost one in this case. This is the meaning of line "a." If we remove this part from the whole it is possible to describe the alterations that both it and the whole undergo, which can be seen in Fig. 4 below.

When line "a" is removed from the rectangle it can no longer be described as one of the shape's sides and it loses all of the qualities that it enjoyed as a part of the whole. It is merely a line of a certain length, not the side of an enclosed shape. With the removal of this side, the shape itself or whole suffers a dramatic transformation as well, which did not happen with the row of parallel lines in Fig. 1 above. It is no longer a rectangle, but three connected lines forming a kind of "U" shape. Again, when removed from the whole, part "a" loses all of the significance that it enjoyed as a part of the whole. It is not that it is an element that somehow adds its properties to the whole, rather it is a part dependent upon the whole for its functional significance within that whole; its properties and characteristics in this case are derived from its inclusion in the whole. It is a different object altogether when removed from the whole. The same thing happens in all cases of isolating parts from their wholes, for example, removing leaves from plants, heads from horses, hypotenuses from triangles, people from organizations, and so on. Thus, in light of such concrete evidence, Gurwitsch concludes: "*all parts prove to be dependent* and that the existence of independent parts in Stumpf's and Husserl's sense must be denied altogether."[58] All parts are dependent in the sense that they are functionally dependent on the whole for their significance as part of that whole.

Considering Husserl's position concerning the strict identity of parts that can be isolated from a whole, i.e., independent parts in his terminology, it is interesting that Gurwitsch offers a possible justification for Husserl's doctrine. According to Gurwitsch, when Husserl analyzes the isolation and separation of parts from a whole that he is not describing such as a possibility, but as an actuality. As already actually separated from the whole, Husserl's descriptions are correct and there is no problem

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[57]Gurwitsch employs the example of a rectangle in order to explain general Gestalt theory of whole-part relations. See Gurwitsch (1936), pp. 24–26.

[58]Ibid., p. 260. Author's emphasis; see also (1957), pp. 145–146: "Gestalt theory denies this independence."

with them. The problem arises when he assumes that the descriptions are also valid when the part is included in some whole as well. He is not describing the part as at first being a part of some whole and then being considered on its own and the modification and transformation that such must occur in such cases. Rather, what Husserl is describing is only the part as it appears on its own already separated from the whole and is mistakenly basing his position on this isolated standpoint from which the richness of the total phenomena at hand cannot be attained. Gurwitsch writes:

> Husserl defines separatedness rather than separability [which amounts to] a phenomenology of the content as already singled out and made into a theme 'in itself,' not, however, a phenomenological description of a constituent susceptible of being singled out, though not singled out actually. Failing to differentiate between the two means to overlook the fact that by being actually singled out, the content in question undergoes a qualitative change and is, phenomenally speaking, no longer 'the same.' … The basic error in Stumpf's and Husserl's definition of independent and dependent parts seems to consist in foisting into a phenomenological datum as already contained in it that which results from it by virtue of a modification, but not otherwise.[59]

We could say then that if Husserl were to begin his description with the part of a whole that is capable of being isolated from that whole and then continue to describe the transformations that occur as it is actually removed or isolated from that whole, it would be possible to realize that there are not parts that are absolutely independent in the sense that they maintain their identities within and without wholes. As Gurwitsch concludes above, a part within a whole is not at all the same object as it is apart from that whole.

5   Conclusion: Some Aspects of Gestalt Theory

I will conclude by very generally outlining gestalt organization. The three important terms of such organization are relevance, functional significance, and gestalt coherence. Relevance describes a kind of dependent relationship holding between parts and wholes. Functional significance is the perspective of the part in gestalt theory in which its role and meaning, i.e., function, are defined by the whole. Gestalt coherence is the perspective of the whole, which is a system or structure of the interdependencies of the parts.

Relevance or relevancy as Gurwitsch often writes is possibly the most important relation in gestalt theory for him and is one of the few terms that he consistently maintained throughout the history of his work.[60] Unfortunately, Gurwitsch never

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[59]Gurwitsch (1927), pp. 261–262.

[60]There is an insightful discussion of relevancy as terminology between Gurwitsch and Schutz in Grathoff (1985), pp. 150–152. Schutz also employs relevancy, but in the sense of things being relative to or relevant for the ego. He believes this is yet a more general version of relevance of which Gurwitsch's is a component part and for this reason urges Gurwitsch to instead adopt the term "pertinence" to be used in all places that Gurwitsch employs relevancy, which is advice that went unheeded. Embree himself defines three species of relevancy; see his (2004); Embree, (1977).

himself directly or explicitly defines this term, but we can derive such from the instances in which he uses the term and from its specifications, being functional significance and gestalt coherence, both of which he defines explicitly and to some detail. Relevance can generally be defined as the kind of relationship holding between or among things such that these things of themselves have something to do with one another in terms of their meaning and existence, which amount to the same for Gurwitsch. Relevance, in this way, can be understood as a kind of relation of dependence; to be relevant for something, then, means to depend on that thing in some manner, whether it be for meaning, existence, or both. Parts are relevant for the object of which they are a part, and objects are relevant for certain contexts. For gestalt theory there are no independent parts in the sense of elements as we have seen above, and it rather envisions the part relation as being something more like figural moments or in the way that Husserl defined them. "All parts prove to be dependent" in this way for Gurwitsch and what they are dependent on is each other, the whole, and the context in a very interconnected and interpenetrating way;[61] there are no stand alone and self contained elements. Relevance is not a supervenient or extrinsic relationship imposed from the outside, but is rather something that is inherent to the very terms of the relationship. Gurwitsch writes: "Such contents 'penetrate each other; they are within, not outside of, one another.' Accordingly, they change along with each other; they hang together functionally in such a way that the change of one content also involves the other."[62] Gurwitsch does acknowledge a kind of independent part in the sense of something capable of being made a theme in its own right, but it must be recognized that absolute isolability from all contexts is something impossible for Gurwitsch; when changing the context of a moment the moment suffers changes in its meaning and being ranging from slight affection to total annihilation. Understanding relevance in terms of dependence in this way brings to light the importance of the relationship for Gurwitsch and gestalt theory in general.

The way that a part relates to the whole of which it is a part in terms of gestalt theory is very much different from what we have seen with elemental organization. Gurwitsch writes: "a configuration cannot be considered as built up out of the 'parts' of which it consists, if these parts are regarded as independent and self-contained elements. More precisely, the configuration cannot be accounted for in terms of these properties and attributes which its constituents display when they are extracted from the actual configuration and are taken isolatedly."[63] Gestalt theory rather envisages the relationship of the part to the whole as one in which the part is both dependent upon the whole for its meaning, but also contributes to the constitution of the

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[61]Gurwitsch (1929), p. 260.

[62]Gurwitsch (1957), p. 259.

[63]Ibid., p. 114. Further on in this section he writes: "It is not as though the constituent were determined first by certain nuclear properties … and then, in addition to, and on the basis of, its nuclear properties, were assuming a functional significance within the organizational contexture into which it is integrated." (p. 116).

whole; there is a kind of symmetrical interdependence holding between parts and wholes much in the same way that we have seen with Husserl's dependent parts.

It is the structure or context of the whole that assigns to each moment its meaning, role, and existence, which in this case can be understood as synonymous terms. It is for this reason that Gurwitsch names this relationship one of functional significance;[64] the function of a moment is the role that such plays within the context of the whole and it is thoroughly defined by that function. Gurwitsch writes: "The appearance and – which in the realm of consciousness is the same – the *existence* of a phenomenal datum is entirely determined by its functional significance for the contexture to which it belongs, by the role it plays for the constitution of the contexture, and by the place which it holds within its structure."[65] The whole, then, is a kind of system of functional significance. Gurwitsch summarizes the symmetry of functional significance in the following way: "The functional significance of each constituent derives from the total structure of the Gestalt, and by virtue of its functional significance, each constituent contributes towards this total structure and organization."[66]

Gestalt coherence, on the other hand, is the order, structure, or organization of the moments in terms of their consolidation into a unitary whole. The moments cohere with one another in the sense that they are relevant for each other according to the rule of the whole. Each moment has a role to play and these roles are interdependent upon one another; no part stands alone independently, but rather depends upon the other parts and their overarching coherence. Gurwitsch writes: "For a part or constituent of a Gestalt-contexture to have that functional significance by which it is qualified and defined in a concrete case, it is obviously necessary that other parts exist, each with its own functional significance and corresponding to that of the constituent under discussion."[67] In order to determine or define what the meaning of a certain constituent is, then, one must look to the whole of which it is a part.[68] It would be a mistake to isolate any individual moment and attempt to somehow describe such without its contexture, because that part would suffer a radical change

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[64]As early as his dissertation (1929, pp. 206–209) Gurwitsch was discussing the idea of functional significance, but there he employed the terminology of "gestalt connection."

[65]Gurwitsch (1957), p. 119

[66]Ibid., pp. 115–116.

[67]Ibid., p. 132.

[68]Gurwitsch writes: "In describing and analyzing a part of a Gestalt-contexture, care must be taken not to lose sight of the very contexture. The part must be taken into consideration as it actually and concretely exists, that is, as it exists within the Gestalt-contexture. *All those features and characters of the part must be properly allowed for, which the part derives from, and owes to, the contexture into which it is integrated.*" (p. 122, my emphasis) Later on p. 132 he writes: "Every constituent of a Gestalt-contexture is relative … each refers to the other constituents of the same Gestalt-contexture which are qualified and defined by their own functional significance."

of meaning and existence in such cases of abstraction. Gurwitsch writes: "it follows that if a part is extracted from its contexture and transformed into an element, … the part may undergo radical transformations. Since its functional significance is no longer determined by references to other constituents, the extracted part may cease to be what it phenomenally was."[69] Each moment is not a self-contained and independent piece or element of the whole, but rather draws its meaning from the other parts, which, thus, are interconnected and interdependent. Gurwitsch describes such interdependence: "Since each part of a Gestalt-contexture is defined and qualified by its functional significance, and since the functional significance of each part essentially refers to those of other parts, there is a thoroughgoing *interdependence* among all parts or constituents of a Gestalt-contexture."[70] There is not only an interdependence there is also an interdetermination of moments for each other; they depend upon each other for their meaning and existence. It can be said that each part in a way contains the whole in the sense that its role and place imply that there are other moments upholding certain other roles and meanings and that these are coordinated with one another; gestalt coherence is this coordination.

Bringing it all back home, we could imagine this discussion in terms of phenomenological organizations; parts are individual phenomenologists and wholes are the organizations to which they belong. In terms of gestalt theory, then, individuals are significant within the context of their organizations. They have a role to play and in fulfilling this role they constitute the organization. The organization provides the structure and support in which these individuals can be who they are and better pursue their respective interests. Individuals are, then, not to be thought of as the absolutely independent elements of society in some libertarian sense. Even without dedicated organizations, there is the overarching organization of phenomenology in general that unites all of us partaking in this tradition and gives us meaning and a common approach to pursue the things themselves in our many different disciplines. It is just this that Lester Embree clearly understands and practices.

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[69] Gurwitsch (1957), p. 135; see also (1959), pp. 122–123.
[70] Gurwitsch (1957), p. 134.

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Phenomenology of Surprise

Lévinas and Merleau-Ponty in the Light of Hans Jonas*

Natalie Depraz

1 Introduction

In an article that in my opinion constitutes an *hapax* on the contemporary horizon of phenomenology, Françoise Dastur raises this question: "[…] is the very idea of a phenomenology of surprise conceivable without absurdity?"[1] Extending the project sketched by Dastur – "to discover the foundation of the phenomenology of surprise in [the] philosophies [of Husserl and Heidegger]" – I would like to undertake here an examination of the contributions of Merleau-Ponty and E. Levinas in light of the work initiated by Hans Jonas on the living being's experience of time, a line of investigation opened up in terms of the notions of risk and uncertainty.

The present essay can be situated at the intersection of a project focused on the lucidity of the body, based on Husserl's research,[2] with a study in progress on the experience of surprise as one that is characteristic of the living being.[3] The status of time receives deeper treatment in the second study: whereas the published study focuses primarily on corporeity and appeals to the temporality of auto-antecedence so as to illuminate, among other things (space, the imagination, community), this remarkable lucidity inherent in the body, our current research leads us to lend

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[1] F. Dastur, "Pour une phénoménologie de l'événement : l'attente et la surprise," in: *Etudes phénoménologiques*, 1997, no. 25, p. 72.

[2] N. Depraz, *Lucidité du corps*. De l'empirisme transcendantal en phénoménologie, Dordrecht, Kluwer, 2001, deuxième Section intitulée "Auto-antécédance de l'incarnation," pp. 57–109.

[3] N. Depraz, *La surprise du vivant*, manuscript in progress.

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greater importance to this temporality reinterpreted as characteristic, not only of the body, but of the living being itself.

What do we mean by the term "auto-antecedence"? It designates a relationship to time that is a kind of "expectation-consciousness" and that is composed of a serene vigilance joined to an emotional quality of hope or expectation. In auto-antecedence, the component of lucidity highlights the awakened or even practiced consciousness of the body, even with respect to its internal knowledge, that is, its sensory-motor capacities of anticipation. By contrast, the component of surprise manifests better the experience of the constitutive unpredictability of the event that is the living being itself.

The very status of experience is at issue here as well: Is experience a standard "given" in relation to which we carry out activity that aims to lend it meaning? Or is it, rather, fashionable, moldable according to our capacity to receive it? To what extent are we able to anticipate or foresee it? Are we not, fundamentally, always surprised, whatever our practiced capacity to rely on reference points in our prior experience? In short, how do we knowingly allow ourselves to be surprised? Ultimately, it is this very paradox which we call auto-antecedence – a surprise that knows itself as such, a knowledge so intimate that it accepts no longer having purchase on (mastery of) itself.[4] This is, in another way, what F. Dastur terms the "paradoxical capacity to await surprise."[5]

1. Why "antecedence" and not "anticipation"? The question of attentional openness

To anticipate is to be capable of foreseeing what is going to happen, in either the near or distant future. It is to precede, "to do" (literally: to grasp – *capere)* before. It is thus to be endowed with a knowledge of the future – it is to project oneself forward and to be able to master that which what one has not yet lived. Our human consciousness thereby seems to grant itself an exorbitant power. Film and literature attest to this when they produce films and novels that "foresee," that stage our lives 100 or 200 years from now. They take up elements of our current life, often extrapolated or altered, sometimes in regressive ways. In contrast to science fiction (and the surreal), which creates a different parallel universe with no direct relation to our own, "anticipation" is based on a continuity that is modified but which remains consistent with what we are; this produces uncertainty about the reality of what is depicted and, consequently, the *frisson* characteristic of the "fantastical." The fact remains that the faculty of anticipation confers a power, which itself is linked to a knowledge of that which one cannot customarily know. It is this unreal and unwarranted mastery of the future inherent in the term "anticipation" which to me presents a problem; it is modeled on a self-assured causality that seeks to effect a result (the future event), even while such a result remains necessarily forever indeterminable. Furthermore, to anticipate is to not be able to wait – it is to move forward too

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[4] On this matter, see N. Depraz, Introduction à *Embodiment and Awareness*, N. Depraz & S. Gallagher eds., *Theoria Historia & Scientiarum*, T. Komensky, Pologne, Torun, 2001.

[5] *Art. cit.*, p. 73.

quickly and to not respect the order of events: it is to encroach upon, to not know how to hold oneself back. Ultimately, this is how this knowledge becomes illegitimate and confers a power bordering on the arbitrary.

For this reason, I would like to substitute for the "objectivizing" assurance of anticipation the realist vulnerability of auto-antecedence, which, by contrast, stresses a certain correctness and a kind of prudence in the relation to the future, which, by its very nature, we do not know. Nonetheless, why use this quasi-neologistic term?

2. Why "*auto*-antecedence?" A practiced consciousness

One characteristic of anticipative consciousness which I will retain is that of preparation, which allows for an improvement in performance and also uses a fruitful, prospective kind of dynamic. On the other hand, I will lay aside the feature of a knowledge that is overly self-assured, which goes along with an unwarranted domination of the future – approaching a "usurpation" – which, incidentally, corresponds to the etymological meaning of anticipation.

In the term "antecedence," I hear resonance with the grammatical sense of "that which is placed ahead" (Cf. "*antécédence*" in the *Dictionnaire Le Petit Robert de la langue française*). Thus, this term appears more neutral and less charged with political connotations. In other words, it lends itself more easily to providing a platform that cross-cuts differing modalities of relating to the future, modalities that are open to the constitutive uncertainty of that which we do not know. Moreover, in this quality of openness, I will highlight the component of practice, exercise, and activity that is to be cultivated, and not the component of the given, understood as a fixed and determinable objective.

In fact, such an open consciousness is fundamentally opposed to a reflexive consciousness, which is characterized by its closure and its individual dimension. In short, the self at issue in "*auto*-antecedence" is of the order of the whole of the experiential context, and not an isolate and formal point.

3. Being there ahead of oneself: An alterity-consciousness

In addition, one can find in auto-antecedence an experience of dissociation that extends me ahead of myself, an experience that is concretely marked by the physical passage from one place to another. Because of the spatial sense of the notion (*cedare* = to place), I feel myself physically situated beyond what I actually am, accompanied by the bizarre feeling of seeing prior to seeing (I glimpse a silhouette of someone and I foresense that it is that certain person), of hearing before hearing (I wake in the middle of the night and am surprised to inwardly hear the baby crying before it even cries). I am astonished at my capacity to be there even before having been expected there. At its core, antecedence reveals a feature of the dynamic of consciousness that presents consciousness with a zone of the self that is situated ahead of itself. It is what we can call an alterity-consciousness (otherness-consciousness), or even a declination-consciousness (alteration or modification), for it makes appear at the heart of the self a present self and a future self, the latter inscribed in advance in my foresensing-consciousness.

4. Auto-antecedence as a multi-modal, transversal experience

We will therefore say that antecedence is a generic term and anticipation is one of its modalities. Its other modalities are "protention," "expectation," and "generativity." Moreover, these four modalities correspond to different temporal levels[6]:

1. *Protention* relates either to an immediate and pre-conscious lived experience, to a consciousness of organic imminence which is expressed as a tension towards or even to an immanent impulse, close to a drive.
2. *Anticipation* corresponds to an individual experience proper to the perceiving subject and implies a reflexive consciousness that takes the form of a projection towards the future and sets forth a deliberate project.
3. *Expectation/awaiting* [*l'attente*] is expressed as an event with an historical content, inherent in a community of action. It thus pertains to a collective consciousness that manifests as a dynamic of mutual availability and causes a practice of co-receptivity to appear.
4. *Generativity* is a phylogenetic movement inscribed in the species and which creates an emergent consciousness that opens onto the spontaneity of the living being.

Found at these various levels is a double movement of foresensing and surprise, itself doubled by an emotional tonality of patience/hope/expectation and shock/catastrophe/miracle.

5. Experiential model cases and a schema of auto-antecedence

Each of these levels of experience can be concretely expressed with examples, which have the virtue of filling in the still-general form of the structure that is in question.

Thus, we will analyze: the protentional dynamic through the case of the emergence of stereoscopic vision; the logic of anticipation in light of epileptic seizures; the chronology of expectation through the ordeal of the historical event of crisis; the evolution of the species in light of the metamorphosis of the living being that is mutation.[7] These analyses reveal the differentiated dynamic of auto-antecedence, which we can now take up again in schematic form:

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[6]On this matter, see N. Depraz, *Lucidité du corps*, *op. cit.*, pp. 84–105.

[7]For more on these examples, see *Lucidité du corps*, *op. cit.*, pp. 84–103. For the first two, cf. F. J. Varela et N. Depraz, "Au cœur du temps : l'auto-antécédance II", *Intellectica*, 2003, No 36–37, pp. 183–203.

THE DYNAMIC OF AUTO-ANTECEDENCE

(1) IMMINENCE	CRISIS	AFTEREFFECTS
(a) Protension	Impression	Retention
(b) Anticipation	Decision	Working memory
(c) Expectation	Event	Commemoration
(d) Phylogenesis	Mutation	The immemorial
(2) HOPE/	MIRACLE/	SERENITY/
FEAR	CATASTROPHE	DEPRESSION
(1) Temporal rhythms		
(a/b/c/d) Temporal levels		
(2) Emotional valence		

6. The "self" of auto-antecedence

In short, the self-presence characteristic of auto-antecedence leads us to become more closely interested in this "self." While we have already discovered that it is modifiable, mobile, extensible – in short, plastic – and not reducible to its mental or intellectual dimension, the self in question divides into different preconscious, individual, historic and trans-individual components. This general self is in this sense "diffusive," since it develops in a number of dimensions: (1) corporeal/ organic; (2) emotional/affective; (3) imaginary/oniric.

7. Expecting to be surprised: the rhythm of emotions

If auto-antecedence is that experience that binds together patience and surprise, it appears that it is ultimately best grasped on the emotional level properly speaking. The hypothesis is therefore that the temporal level of approach must be continued in a more refined manner via the very rhythmics of emotion itself. Emotions cannot be considered simple shadings of a theoretical subject taken to be a formal and neutral self. Rather, they are inherent to each internal act, inextricably linked to it. In other words, what is the role of emotional affects in the auto-movement of the flow of consciousness? If one explicates this temporal flow of consciousness as an auto-movement that is intrinsically auto-affection, it becomes clear how such an auto-affection is altogether a hetero-affection – that is to say, it contains within itself a dynamic structure of internal alterity. Moreover, such an internal alterity manifests itself empirically in the light of the emotional disposition to which affective valence gives rise.[8]

Is not "expecting to be surprised" a matter of making two contraries work together that, in their mutual impact, give birth to the very mobility of the experience of valence? At the heart of time, there appears the potentiality of the auto-affection of valence, which valence is remarkably illustrated in the welcoming of the surprise.

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[8]F. J. Varela & N. Depraz, "At the Source of Time: Valence and the constitutional dynamics of affect," in: S. Gallagher Ed. *The Self and the Other*, *Ar@base.* Electronic Journal: http://www. arobase.to, 1999, hard copy to appear at the Presses Universitaires de Rouen.

Furthermore, if we are able to expect a surprise – to structurally make ourselves available to the event – the singular content of that event remains forevermore irreducible to any anticipation, that is to say, unexpected and unforeseeable.

Consequently, the experience of surprise leads us in two complementary directions: on the one hand, it leads us to bring out the stratified rhythmics of emotions that subtends it, which we call "the emotional rainbow"[9]; on the other hand, it directs us to explore the ultimate event that confronts us with this experience, namely, death.[10]

I would now like to assess the views offered by E. Levinas and M. Merleau-Ponty in light of this phenomenological proposition. How to they respond to it, in advance? At what point in their approach do they part ways or at what points are they absent?

My hypothesis is that the two "phenomenologists," even in their difference, are related closely enough to the phenomenology of surprise I outlined above for a relational – or even contrasting – comparison of the two to prove fruitful, that is, to potentially generate new possibilities for thought.

I.   *From the event to surprise: M. Heidegger*

We cannot measure the contributions of Levinas and Merleau-Ponty in light of the experience of surprise without laying out the background of the Heideggerian philosophy that they inherited.

F. Dastur takes as a given the enrooting of surprise in the event, to the extent, ultimately, of making the former the latter: "*Ereignis*, this master word of Heideggerian thought." It is on this point that her article concludes, not without having indicated the necessary passage of a phenomenology of the advent (through which the subject comes to himself in his encounter with the world) to a phenomenology of the event: "Can we in fact think through the coming of time, its *advenire,* its advent unto us, without further truly conceiving of its sudden upsurgence, its emerging out of itself, which the verb *evenire*, *ex-venire*, connotes, and from which the substantive "event" is taken?"[11]

(a) The Heideggerian name for surprise: the event

But can one derive surprise from the Heideggerian event without making these discontinuous? If there is indeed in the Heideggerian event an appearing that issues in an opening, and that gives rise to an excess in relation to the usual flow of

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[9] N. Depraz, "The rainbow of emotions: at the crossroads of neurobiology and phenomenology" in *Continental Philosophy Review*, B. Heiner ed., special issue entitled "Intersubjectivity and Affectivity. Phenomenology and Cognitive Science," 41, 2008, pp. 237–259.

[10] Cf. for example N. Depraz, "Etre présent à l'instant de la mort : ressources scientifiques, phénoménologiques et bouddhistes," in: *Bouddhisme et philosophie*, Eds. N. Depraz, F. Bonardel and F. Midal, *Cahiers d'études bouddhiques*, 2006; DVD éditions Nangpa.

[11] *Art.-cit.*, p. 63.

phenomena, then out of what does Heidegger's thematization of *Ereignis* make a surprise?

In fact, a surprise is originarily constituted by its valence, that is, its polarization in terms of value: there is no "neutral" surprise, there are only good or bad surprises. However, we know that the sudden upsurgence that characterizes the event as (an) opening is never ontologically described starting from its valence, but is considered independently from that valence.

(b) The affective tonality of anguish: the polar opposite of surprise

Moreover, when Heidegger situates affect within temporality, it is to locate it unilaterally on the side of negativity. In this sense, the affect which responds to the event, anguish, makes of the event – on the existential level, and in a unilateral way – a shock, an upheaval, a crisis, in short, a "bad surprise."

However, does this not amount to purely and simply inverting the immediate experiential generativity of surprise? Is not to surprise someone to spontaneously seek to please him or her, to make him or her happy? Granted, it is possible that he or she might take the surprise poorly, that it might not please him or her, that, in fact, he or she does not like surprises. But here this is a matter of an effect or a subsequent component of the initial experience. In short, we cannot – without betraying its proper meaning – determine surprise based on its starting point nor *a fortiori* determine it exclusively starting from the horizon of a negative valence.

(c) The absence of corporeal rootedness

Whether good or bad, a surprise destabilizes us, that is to say, creates in us a certain mobility, puts us in motion by tearing us away from the conventional and the expected: such a putting into motion does not find its transposition in corporeity; it finds in corporeity its enrooting and its generativity. In this sense, when we are surprised by a piece of news, it is our entire body that is "caught" by the surprise.[12] We can only note the weakness of the Heideggerian analysis in this regard.

Armed with the phenomenology of the event and the difficulties of locating the experience of surprise in that phenomenology (and this in spite of the apparent continuity between the two phenomena), I will examine the philosophy of Levinas to determine the extent to which we can, better than in Heidegger, discover in it the "outlines" of an experience of surprise.

II. *E. Levinas: From exposure to others to the experience of surprise*

For the author of *Time and the Other*, the future escapes all power of foreseeing or expectation: it is as such "absolutely other and new." It is this always open possibility of an event whose alterity is so radical that it cannot be taken on. In this sense, the future absolutely breaks the continuity of the flux and violently opens a rift. Resembling death, this rift is absolutely unanticipatable. "When one deprives

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[12]In French the words "caught" and "*surprise*" are etymologically linked, since the former ("*pris*") shares the samed root as the latter ("*surprise*").

the present of all anticipation, the future loses all co-naturalness with it. The future is not buried in the bowels of a preexistent eternity, where we would come to lay hold of it. It is absolutely other and new."[13]

In a certain way, Levinas grafts alterity onto the event, which makes the self a subject who is originally exposed to the other. From this originary exposure to others to the experience of surprise, what type of continuity is taking shape?

(a) Does diachrony suffice for surprise?

In diachrony, identified with a "phenomenon of non-coincidence," it is a matter of an "awaiting without an awaited, of an insatiable aspiration."[14] Fundamentally, time and self share this: they are both fashioned by alterity, to the point of being indefeasibly exposed in alterity, that is to say subjected.

This "relation with that which remains absolutely outside," which the term 'diachrony' approximates, converts the Heideggerian event into an eventuality about to burst into the "Same" of immanence, and death into an "inassumable mystery."

However, the affective tonality that belongs to such an experience appears irreducible to what the surprise promises. Indeed, its content of the unexpected is intrinsically linked to joy, to euphoria, to the effervescence of the unknown, interpreted a priori as positivity. In fact, it is striking that, like Heidegger, Levinas describes the *temporality* of surprise so well without, however, including what nonetheless constitutes its singularity, that is, the tonality of the enjoyment of expectation.

(b) The affective tonality of insomnia: Is the "there is" [*l'il y a*] an anti-surprise?

Hence, when Levinas begins the description of the lived experience of awaiting as such, he approaches it from the angle of the experience of the vigil, even of vigilance, that is to say, by exacerbating the consciousness of the subject in question. It is in insomnia that such a lived experience of awaiting is thus revealed. This lived experience of awaiting can only be experienced under the rubric of its disappearance, given its unbearable character. No one can enjoy his insomniac state, and the state of hyper-vigilance that stems from it is inevitably something pathological.

Here, we are far away indeed from the quality of the awaiting that is generated by a surprise to come – unknown, yet hoped for, wished for, desired.

(c) The security of enjoyment: Is autarkic sensibility an anti-surprise?

Let us turn now to the passages where Levinas attends to enjoyment. In *Totality and Infinity*,[15] it is sensibility itself that is apprehended as resulting from an internal state of enjoyment. But this sensibility is described as autarkic: it is plenitude without alterity or temporality.

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[13]E. Levinas, *Time and the Other*, Trans. Richard A. Cohen (Pittsburgh, PA: Duquesne University Press, 1987), 80; E. Levinas, *Le temps et l'autre*, Paris, P.U.F. [1948], 1983, p. 71.

[14]*Op. cit.*, p. 32; *Le temps et l'autre*, 10.

[15]E. Lévinas, *Totalité et infini*, La Haye, M. Nijhoff, 1968, pp. 86–88.

Thus, here it would not be a matter of any dynamic whatsoever, since enjoyment is enjoyment of self by self.

(d) The immemorial, an originary surprise

In "The Trace of the Other" (in *On Discovering Existence* …), Levinas appeals to a past which one does not remember, which one cannot represent to oneself. The same is the case in "Diachrony and Representation," in *Entre Nous*, where it is a question of an irretrievable past that opens the self to the other and to its past, one unknown to it, but which nevertheless concerns it.

Can this immemoriality, of which birth provides us an exemplary experience, harbor the sense of a sort of originary state of surprise? We have in it a non-phenomenalizable experience of absolute surprise on the ground of the alterity – itself absolute – of the other who gave birth to me. Thus, the sole possibility of having a relation with this alterity of the event that permits me to conquer death is given by alterity itself, the alterity of other people[16]: "…the absolute alterity of another instant cannot be found in the subject, who is definitively *himself*. This alterity comes to me only from the other. (…) If time is constituted by my relationship with the other, it is exterior to my instant." [17] In this sense, the future takes hold of me, I cannot seize it by any means: it is absolute discontinuity, disconnection, that is to say, also a new beginning: "… one instant does not come out of another without interruption, by an ecstasy. In continuation the instant meets its death, and resuscitates; death and resurrection constitute time. But such a formal structure presupposes the relation of the I with the Other and, at its basis, fecundity across the discontinuous which constitutes time."[18]

It appears clear that, for Levinas, if the figure of fecundity, even of birth, reveals an understanding of the experience of surprise, this experience could never stem from a knowledge of any sort, however recharacterized it might be. Hence, the experience in which we can expect to be surprised, or even the experience of foresensing, cannot be integrated into his philosophy, given the radical nature of the irreducibility with which he approaches the future.

III. *Maurice Merleau-Ponty: from creation to surprise*

"Being is *what requires creation of us* for us experience it," declares Merleau-Ponty in *The Visible and the Invisible*.[19] As with Heidegger and Levinas, Merleau-Ponty wagers on the openness of the subject to that which he does not master, on his being irremediably outside: to create, in this sense, is to exit from oneself and to allow the appearance of the new that is irreducible to self. In contrast to Levinas, what characterizes

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[16]Cf. on this topic, E. Bovo, "Le temps, cette altérité intime. La critique de la temporalité husserlienne par Lévinas," in: *Cahiers d'études lévinassiennes*, Jérusalem, 2002, No. 1, pp. 18–19.

[17]E. Levinas, *Existence and Existents*, Trans. A. Lingis (The Hague: Martinus Nijhoff, 1978), 93. E. Lévinas, *De l'existence à l'existant*, Paris, Vrin, [1947], 1993, p. 160.

[18]E. Lévinas, *Totality and Infinity*, 284; E. Lévinas, *Totalité et infini*, *op. cit.*, p. 317.

[19]M. Merleau-Ponty, *The Visible and the Invisible*, Trans. A. Lingis (Evanston, IL: Northwestern University Press, 1968), 197. M. Merleau-Ponty, *Le visible et l'invisible* [1964], Paris, Gallimard, 1986, p. 251.

the thought of Merleau-Ponty is an to approach this openness, not solely in the mode of shock, catastrophe, disconnection or crisis, but, equally, as an openness that is bound, possibly inscribed, in the already-there of the self. To put it in other terms, the transcendent is expressed as a deepening of immanence rather than as an absolute separation (Levinas), or as an ecstatic tearing away (Heidegger).

(a) The name of surprise: Dehiscence from the natal state

Event, diachrony, and dehiscence are three names, each one of which designates, although differently, a non-continuity in the temporal continuum. It is such a rupture that marks on each occasion the possible advent of surprise.

   In this sense, being-in-dehiscence does not escape the rule, in the work of Merleau-Ponty: it indicates an irremediable "gap" [*écart*]. But this "gap" causes the unity which precedes it to appear in negative outline [*apparaître en creux*] – even as it permanently evades us: "…if [these experiences] slip away at the very moment they are about to rejoin, if there is always a 'shift,' a 'spread' [*écart*], between them, this is precisely because my two hands are part of the same body […], as though the hinge between them, solid, unshakeable, remained irremediably hidden from me."[20]

(b) The tension generated in surprise: imminence

Hence, the uncloseable gap [*écart*], non-coincidence, is not rendered as an absolute alterity, as an irreducibly inassumable future, but as imminence, initiation, latency, forehaving (*Vorhabe*), even as anticipation or, indeed, encroachment[21]. In his *Nature* lectures, which lay out the concrete process of the emergence of surprise, Merleau-Ponty even mentions this being that is ever awaiting becoming, which "always precedes itself,"[22] this "antecedent being."[23]

(c) The emotional register of welcome and harmony: birthing

It is for this reason that surprise takes place on the ground of patient serenity rather than that of tensed anguish or of tragic despair. Merleau-Ponty deliberately multiplies the images of the bond – of cohesion, intertwining, and tissue – so as to expose, not the fusional indifferentiation of the flesh, but the emergence of a newness that is always definitively bound.

   Thus, Merleau-Ponty's wager is to locate surprise in the deeper experience of a continuity, rather than to see in it the intrusion of a blow: "It is a reversal that cannot be grasped by an abstract philosophy that describes being as leaving from nothingness

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[20]M. Merleau-Ponty, *The Visible and the Invisible*, 148; *Le visible et l'invisible*, 194.

[21]M. Vanni, *L'impatience des réponses. L'éthique d'Emmanuel Lévinas au risque de son inscription pratique*, Paris, CNRS, 2004, pp. 208 sq.

[22]M. Merleau-Ponty, *Phenomenology of Perception*, Trans. Colin Smith (London: Routledge, 1994), 252; *Phénoménologie de la perception*, Paris, Gallimard, 1945, p. 291.

[23]M. Merleau-Ponty, *Nature: Course Notes from the Collège de France*, Trans. Robert Vallier (Evanston, IL: Northwestern University Press, 2003), 134; M. Merleau-Ponty, *La Nature* (Paris: Seuil, 1995), p. 180.

whereas a naive reflection is always sensed as emerging from something, from an antecedent being. […] The retrospective being is linked to the act of existing. What is given is the metamorphosis of brute being, the giving birth."[24]

Conclusion: Hans Jonas, risk and vulnerability

If surprise is approached under the aegis of birthing, we are certainly dealing with a kind of newness that is always bound, and thus not with a radical or irreducible novelty, which appears at base abstract.

In *The Phenomenon of Life*[25], Hans Jonas identifies what I call "surprise" through the paired terms 'risk' and 'vulnerability': for him, there exists a vital life of the animal living being, repeatedly won in remarkable fashion from the potential imminence of its death. Risk refers to openness to indetermination, running counter to all securitizing modes of protected life. Correlatively, vulnerability is the permeability and plasticity of the living being; thanks to these features, the living being allows itself to be penetrated by whatever unknown and unexpected elements may arise, which generates instability and insecurity. These two modes of being are described by Hans Jonas by means of the distinction between the animal living being and the vegetal living being, with the hypothesis that the latter is impervious to the surprise inherent in the risk and vulnerability that characterize the animal living being. "…desire presents the object 'not yet but to come:' motility guided by perception and driven by desire turns there into here and not yet into now. Without the tension under the conditions of animal mediacy, where it emancipates itself from its immersion in blind organic function and takes over an office of its own: its functions are the emotions. Animal being is thus essentially passionate being."[26]

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[24]M. Merleau-Ponty, *Nature: Course Notes from the Collège de France*, Trans. Robert Vallier (Evanston, IL: Northwestern University Press, 2003), 134; M. Merleau-Ponty, *La Nature*, (Paris: Seuil, 1995), p. 180.

[25]H. Jonas, *The Phenomenon of Life: Toward a Philosophical Biology* (Evanston, IL: Northwestern University Press, 2001); *Le phénomène de la vie. Vers une biologie philosophique* (1966), Bruxelles, De Boeck Université, 2001.

[26]H. Jonas, *op. cit.*, (101–102); *Le phénomène de la vie. Vers une biologie philosophique*, p. 105–106.

The Crisis of Modern Society and Critical Rationality

LEE Nam-In

Assessing Habermas' criticism of Husserl's phenomenology, this paper aims to develop the concept of the critical rationality in a true sense. This paper will show that critical rationality has at least three components, namely communicative rationality, formal-logical rationality and intuitive rationality. Among these three components, communicative and formal-logical rationality are the formal components of critical rationality, whereas intuitive rationality that is developed by the author for the first time is its content. Intuitive rationality is the most important among the components of critical rationality. It is the core of the critical rationality. Critical rationality cannot be critical in a true sense and overcome the crisis of modern society if it does not have the component of intuitive rationality.

Since intuitive rationality has crucial importance for the concept of the critical rationality, the main part of this paper is devoted to the development of the concept of intuitive rationality. Intuitive rationality is the property peculiar to a belief that is formed on the basis of evidence. A belief formed on the basis of evidence can be called rational in a peculiar sense. As such, it is distinguished from a belief that, having been formed without any recourse to evidence, can be called irrational. The main characteristics of intuitive rationality are as follows: (1) Intuitive rationality is a concept with respect to which it is possible to observe different degrees. (2) The concept of intuitive rationality is pluralistic. (3) From the genetic-phenomenological point of view, intuitive rationality is conditioned by the cultural tradition. (4) The attempt to develop the concept of intuitive rationality could be defined as an attempt to rehabilitate the tradition that considers reason to be intuitive. (5) The concept of intuitive rationality has the merit of explaining not only why it is possible for us to find out the intersubjectively valid truth in some cases, but also why it is impossible in other cases. (6) Tolerance is an essential component of intuitive rationality.

Husserl and Habermas agree on the diagnosis of the modern society. Contrary to the positivistic philosophy that considers the modern society to be the highest

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achievement of the mankind, they declare that modern society is pathological. In the last work published in his lifetime, *The Crisis of European Science and Transcendental Philosophy*, Husserl claims that European culture and humanity is in a total crisis that has its origin in the crisis of philosophy.[1] In his major work published in 1983, Habermas also claims that modern society is in a critical situation with "the pathology of the life-world"[2] that has its origin in "the colonization" (TKH 2, 293) of the life-world by what Habermas calls system.

They also agree on the prescription for overcoming the crisis of modern society. Contrary to some irrational philosophers who claim that reason or rationality has limitations in overcoming the crisis of modern society, they claim that reason and rationality are the only means; this does not mean that the concept of rationality pursued by them is the same as the positivistic concept of instrumental rationality. According to them, the positivistic concept of instrumental rationality is too narrow and it could not overcome the crisis of modern society. It is in this context that Husserl calls positivism "the old rationalism" (*Crisis*, 298) or "an absurd naturalism" (*Crisis*, 298). Husserl as well as Habermas pursued a true rationalism that could overcome "the old rationalism" of the positivistic philosophy.

In my view, the core of the true rationalism that Husserl and Habermas pursued is critical rationality. Critical rationality means the rationality that has the critical potential in a true sense and is able to overcome the pathology of modern society. In his later phenomenology, Husserl laid emphasis on "a heroism of reason" (*Crisis*, 299) and "the genuine sense of rationalism" (*Crisis*, 16) as a means to overcome the crisis of modern society and was on the way to develop a theory of critical rationality.[3] But we do not find in Husserl's phenomenology an explicit theory of critical rationality. However, it is different in Habermas' case. Developing his theory of communicative action as "a critical theory of society," Habermas proposes a theory of critical rationality. The theory of communicative rationality, as the central part of his theory of communicative action, is nothing other than a theory of critical rationality.

In my view, however, Habermas' theory of critical rationality has serious problems and, therefore, can not be called a theory of critical rationality in a true sense. It is the aim of this paper to sketch out a theory of critical rationality in a true sense. I would like to call the theory of critical rationality discussed below a phenomenological one, since it claims to be a theory that deals with the given

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[1] A passage reads as follows: "Thus the crisis of philosophy implies the crisis of all modern sciences as members of the philosophical universe; at first a latent, then a more and more prominent crisis of European humanity itself in respect to the total meaninglessness of its cultural life, its total 'Existenz'" (E. Husserl, *The Crisis of European Science and Transcendental Philosophy*, trans D. Carr, 12). In this paper, this work will be cited with the abbreviation *Crisis*.

[2] J. Habermas, *Theorie des kommunikative Handelns*, Frankfurt/M.: Suhrkamp, 1988, Bd. II, 293. In this paper, this work will be referred to with the abbreviation TKH 2.

[3] In this sense, Husserl's phenomenology could be defined as a practical philosophy. See Nam-In Lee, "Practical Intentionality and Transcendental Phenomenology as a Practical Philosophy," in *Husserl Studies* 17(2000).

matters themselves (*Sachen selbst*). In my view, it is the very theory that Husserl had in mind when he tried to found his phenomenology as a rationalism.

In order to develop a phenomenological theory of rationality, I will critically assess Habermas' criticism of Husserl's theory of evidence (Sections 1 and 2). Developing his theory of communicative action, Habermas criticizes Husserl's theory of evidence. But his criticism on Husserl has serious problems and it is the task of Sections 1 and 2 to assess it. After I assess Habermas' criticism of Husserl, I will develop the concept of intuitive rationality (Section 3). Then, finally, I will try to develop a phenomenological theory of critical rationality (Section 4). Let me first delineate Habermas' criticism of Husserl's concept of evidence.

1   Habermas' Criticism of Husserl's Theory of Evidence

Habermas develops his theory of communicative action as "a critical theory of society" (TKH 2, 548). The theory of communicative action is critical in the following twofold senses. First, it is critical of modern society that is pathological due to the colonization of the life-world through instrumental reason. Second, it is critical of contemporary social sciences that, being blind to the pathological character of modern society, are unable to solve various problems confronting it. According to Habermas, the pathology of modern society has its roots in the distortion of the system of communication that is proper to life-world; and such pathology could be overcome by recovering that system. The recovery of the system of communication proper to life-world means the recovery of communicative rationality that has the power to criticize the pathologies of modern society as well as the problems of the contemporary social sciences.

Developing the theory of communicative action, Habermas criticizes Husserl's theory of evidence. Husserl's theory of evidence is one of the most important targets of Habermas' criticism of Husserl. Habermas claims that Husserl's theory of evidence is solipsistic[4], since evidential experience that a person has at a moment is conceived of as something that has nothing to do with other persons. Habermas believes that evidential experience in Husserl is an experience that has a mere "subjective validity" in the Kantian sense. Kant makes a distinction between subjective and objective validity.[5] According to Kant, not being accompanied by the transcendental unity of apperception, a perceptual judgment (*Wahrnehmungsurteil*) has a mere subjective validity, whereas an experiential judgment (*Erfahrungsurteil*) that

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[4]J. Habermas, *Vorstudien und Ergänzungen zur Theorie des kommunikativen Handelns*, Frankfurt/M.: Suhrkamp, 1986, 151 ff. In this paper, this work will be referred to with the abbreviation VE.

[5]Kant makes a distinction between subjective validity and objective validity in I. Kant, *Prolegomena zu einer jeden künftigen Metaphysik*, Hamburg: Felix Meiner, 1976, 53 ff.

is accompanied by the transcendental unity of apperception has an objective valid-
ity. An example of the perceptual judgment with a mere subjective validity is the
judgment that "I have the feeling that the stone is hot"; and, on the other hand, an
example of the experiential judgment could be the judgment that "The stone is hot."
The difference between perceptual and experiential judgment lies in the fact that,
making an experiential judgment, a person raises a truth claim with respect to what
he believes to be true. For this reason, she/he is ready to ask other persons to check
whether what she/he believes to be true is also acceptable to them, whereas it is not
the case with the perceptual judgment. Making a perceptual judgment, a person
does not raise any kind of validity claim, but she/he merely expresses her/his sub-
jective feelings.

According to Habermas, a person who has an evidential experience in Husserl's
sense does not raise any kind of truth claim with respect to what she/he believes to
be true, since evidential experience has only subjective validity in the Kantian
sense. Thus, Husserl's evidential experience has nothing to do with the problem of
truth. This is the reason why, commenting on Husserl's concept of perception as a
typical example of evidential experience, Habermas maintains that, "in a certain
sense, perception [in Husserl] cannot be false" (VE, 152) or that "the problem of
truth cannot be raised with respect to perception, since perception cannot be false"
(VE, 152). Since evidential experience has nothing to do with any truth claim, it is
not by recourse to evidential experience, but through communicative actions with
other persons that a person can decide if any truth claim is really acceptable or not.
The key to the solution of the problem of truth is not the evidential experience, but
the communicative action. It is not the evidential experience, but the communica-
tive rationality as the formal-pragmatic property of discourse that makes the truth
claim of a statement acceptable. Here, communicative rationality means the ratio-
nality that makes communicative action rational. For example, a communicative
action performed by a person could be called rational if that person obeys gram-
matical rules and uses clear expressions and right statements that other people
could understand.

Habermas ascertains that Husserl's theory of evidence that cannot contribute to
solving the problem of truth and should be replaced by his own theory of commu-
nicative action. He maintains that it is not the evidential theory of truth, but the
consensus theory of truth that is compatible with his theory of communicative
action. "The consensus theory of truth that has the merit of being able to make a
distinction between intersubjective validity claim and an experience with a mere
subjective certainty" (VE, 150) and is therefore able to solve the problem of truth,
whereas the evidential theory of truth that, dealing only with evidential experience
equipped only with subjective validity in the Kantian sense, cannot solve the prob-
lem of truth. Habermas maintains that "the condition under which a statement can
be called true is the consensus of all persons" (VE, 137) and the consensus of all
persons cannot be achieved without communicative rationality. Thus, communica-
tive rationality turns out to be critical rationality that, making the discovery of truth
possible, could be critical to the pathological aspect of modern society and to the
contemporary social sciences.

2 Critical Assessment of Habermas' Criticism of Husserl's Theory of Evidence

Habermas' criticism on Husserl's theory of evidence totally misses the mark, since the concept of evidence that Habermas criticizes as the Husserlian one is not actually Husserlian at all. Contrary to what Habermas maintains, evidential experience in Husserl does not have a mere subjective validity in the Kantian sense. For example, if a person has a perception and makes a judgment that a tree on the street is green, she/he is not claiming that she/he has a mere subjective feeling that it seems to be green, but she/he is making a judgment that it is green. It is not the case that "perception cannot be false" or that "the problem of truth cannot be raised with respect to perception." There are endlessly many cases in which perception could be false. Since perception can be either true or false, the problem of truth can be raised with respect to perception. In fact, the problem of truth in perception is one of the most important topics in Husserl's phenomenology and Husserl was deeply engaged with the problem of truth in perception in his later phenomenology, as shown in the Lectures on Logic from the 1920s.[6]

Thus, evidential experience in Husserl does have an objective validity in the Kantian sense. When I perceive a tree on the street and say that it is green, I am ready to ask other persons to check if the tree is really green for them. I am claiming implicitly that the fact is valid not only for me, but it could be valid for all normal persons who could perceive that tree. This implies that a person who has an evidential experience of a certain fact needs to check whether other persons have the same kind of evidential experience with respect to the same fact. The constitution of a fact in an evidential experience is not a process that is carried out in the private chamber of an individual person, but it is open to intersubjective connection with other persons, as indicated in the following passage from the Fifth *Cartesian Mediation*.

"At any rate, in me, within the realm of my transcendentally reduced pure consciousness-life, I experience the world together with the others, in its experiential meaning, not as my so-called private synthetic product, but as something foreign to me, as something intersubjective, as something that is there for everybody[…]."[7]

Since the constitution of a fact by an evidential experience is open to intersubjective connection with other persons, it is necessary to investigate the intersubjective dimension of constitution to clarify the condition of the possibility of that constitution. This is the reason why, dealing with the problem of evidential intuition,

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[6]See E. Husserl, *Analysen zur passiven Synthesis. Aus Vorlesungs- und Forschungsmanuskripten 1918–1926*, Den Haag: Martinus Nijhoff, 1966.

[7]The German text runs as follows: "Jedenfalls also in mir, im Rahmen meines transzendental reduzierten reinen Bewusstseinslebens, erfahre ich die Welt mitsamt den Anderen und dem Erfahrungssinn gemäß nicht als mein sozusagen privates synthetisches Gebilde, sondern als mir fremde, als intersubjektive, für jedermann daseiende[…]." (E. Husserl, *Cartesianische Meditationen und Pariser Vorträge*, Den Haag: Martinus Nijhoff, 123).

Husserl develops the "phenomenology of intersubjectivity" as an indispensable part of his phenomenology. If Husserl had believed that it would be possible to clarify the problem of truth only with the help of the evidential experience equipped with subjective validity in the Kantian sense, he would not have been engaged with phenomenology of intersubjectivity so intensively.

Since evidential experience of a person is open to intersubjective connection with other persons, evidential experience is closely connected with communicative action. On the one hand, an evidential experience of a person should be supplemented by communicative action with other persons so that it could be changed from an experience that is valid for that person into an experience that is also valid for other persons. On the other hand, communicative action should be further supplemented by the evidential experiences of individual persons so that it should be able to contribute to the discovery of truth. One might say that evidential experience without communicative action might be blind, whereas communicative action without evidential experience might be empty. For this reason, the theory of evidential experience and that of communicative action cannot be divorced from each other.

With respect to the close relationship between the theory of evidence and that of communicative action, I would like to make the following two points.

First, Husserl is also aware that he has to develop a theory of communicative action as a supplementary part of his theory of evidence. Contrary to what Habermas claims, it is not the case that, being a kind of solipsism,[8] Husserl's phenomenology has nothing to do with the theory of communicative action. The theory of communicative action is a constitutive part of Husserl's phenomenology and, in a later manuscript from 1930s, Husserl attempts to develop "a phenomenology of a communicative society"[9] as a theory of communicative action. In fact, his attempt to develop a phenomenology of communicative action can be traced back to the time when he was working on his *Ideas*, as the following passage from *Ideas II* shows.

"The sociality is constituted through the specifically social, communicative acts, acts, in which the I turns to the others and the others are also known to the I as those whom it turns to and who, moreover, understand this turn […]".[10]

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[8]I have shown that Husserl's phenomenology is not solipsistic in the following works: Nam-In Lee, *Edmund Husserls Phänomenologie der Instinkte*, Dordrecht: Kluwer Academic Publishers, 1993 (Phaenomenologica vol. 128), 197 ff.; Nam-In Lee, "The Static-Phenomenological and Genetic-Phenomenological Concept of Primordiality in Husserl's Fifth Cartesian Meditation," in *Husserl Studies* 18(2002); Nam-In Lee, "Problems of Intersubjectivity in Husserl and Buber," in *Husserl Studies*, 22(2006).

[9]One of Husserl's later manuscripts from 1930's carries the title: "Phänomenologie der Mitteilungsgesellschaft" (Phenomenology of Communicative Society) (E. Husserl, *Zur Phänomenologie der Intersubjektivität. Texte aus dem Nachlass, Dritter Teil 1929–1935*, Den Haag: Martinus Nijhoff, 461).

[10]The German text runs as follows: "Die Sozialität konstituiert sich durch die spezifische sozialen, kommunikativen Akte, Akte, in denen sich das Ich an Andere wendet, und dem Ich diese Anderen auch bewusst sind als die, an welche es sich wendet, und welche ferner diese Wendung versteht[…]" (E. Husserl, *Ideen zu einer reinen Phänomenologie und phänomenologischen Philosophie. Zweites Buch: Phänomenologische Untersuchungen zur Konstitution*, Den Haag: Martinus Nijhoff, 1953, 194).

Secondly, even though Habermas is extremely critical of Husserl's theory of evidence, he also admits tacitly that his theory of communicative action needs a theory of evidence as its supplementary part. He maintains that, carrying out a communicative action, each person should give "a valid ground" for what she/he is claiming to be true. Only in this case would it be possible for each person to experience "the power of the better argument that is rationally motivated[.]"[11] To the best of my knowledge, there is no passage where Habermas is engaged with the problems of "the valid ground" for what a person claims to be true. However, he admits that "the valid ground" in this context is the evidential experience, as he maintains that only those could be called rational who are able to ground any validity claim "by giving a corresponding evidence to it" (TKH 1, 35). In this sense, one can see that the evidence, which Habermas considers to be the valid ground for what a person claims to be true, is not actually different from the one dealt with in Husserl's theory of evidence.

3   The Concept of Intuitive Rationality

In order to develop the concept of intuitive rationality, I would like to clarify the concept of evidence in more detail. Evidence is a kind of experience of an object, might it be an empirical object such as a tree on the street or a mathematical, essential or transcendental object. Here, experience means the intentional relation of the ego to the object in the widest sense. In this context, it should be noted that there are two kinds of experience, namely the "original experience" (Hua III/1, 11; *Ideas I*, 6) and the "non-original experience." An original experience of an object posits it in its living presence, whereas the non-original experience does not. A typical example of the original experience is a perception of a tree on the street. A typical example of the non-original experience could be an expectation of a bad weather that I have not seen yet but could perceive in its living presence in the future.

In Husserl's phenomenology, evidence means the original experience (*die Selbstgebung*) as the experience of the matter itself. With respect to the concept of evidence, I would like to point out the following two points.

1. Evidence as an original experience means the intuition of the matters themselves. To have an evidence of something is the same thing as to have an intuition of something. Evidence and intuition are interchangeable concepts.
2. Evidence as the original experience of an object is the validity-foundation for the non-original experience of the same object. The evidence of an object is just the foundation of validity to which we have to appeal in order to justify the validity-claim

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[11]J. Habermas, *Theorie des kommunikative Handelns*, Frankfurt/M.: Suhrkamp, 1988, Bd. I, 70. In this paper, this work will be referred to with the abbreviation TKH 1.

of the non-original experience of the same object. Let me suppose that I have a non-original experience of something, namely an empty expectation of something that I have never seen, but tend to claim that it is a thing that has such and such properties. In this case, in order to justify the validity-claim that I have of the same thing, I have to appeal to the perception that I could have of it – I go to it and see it with my own eyes. Why does the evidence of an object play the role of the validity-foundation of the non-original experience? It is because the evidence is none other than "the experience of truth" as "the actual carrying out of an adequate identification" (Hua XIX/2, 652; LI 2, 263). As "the experience of the truth," evidence is the source of rationality as an ability to distinguish the true from the false.

I would like to call the rationality founded on evidence intuitive rationality. It is called intuitive, since evidence is the same thing as the intuition of an object, as discussed above.[12] *Intuitive rationality is the property peculiar to a belief that is formed on the basis of evidence.*
Let me clarify some important traits of intuitive rationality.

1. As mentioned above, intuitive rationality is the property peculiar to a belief that is formed on the basis of evidence. The belief formed on the basis of evidence can be called rational in a peculiar sense. As such, it is distinguished from the belief that, having been formed without any recourse to evidence, can be called irrational. There are other sorts of belief distinguished from the rational belief *par excellence*, on the one hand, and from the irrational belief, on the other hand, and these other forms of belief could be also considered to have intuitive rationality to a certain degree. In this respect, it should be noted that, between the evidential experience and the empty experience of an object, there are various kinds of experience of the same object that are neither evidential nor totally empty. The belief that is based on the empty experience of an object could be called irrational, whereas the belief that is based on the evidential experience could be called rational

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[12]Analyzing the "intuitive foundation of rationality," Rosemary R. P. Lerner also deals with the problem of intuitive rationality. See Rosemary R. P. Lerner, "Intuitive Foundations of Rationality," in: C.-F. Cheung et al. (ed.), *Essays in Celebration of the Founding of the Organization of Phenomenological Organizations*, webpublished at www.o-p-o.net, 2003, and Rosemary R. P. Lerner, "Husserl versus Neo-Kantianism Revisited: On Skepticism, Foundationalism, and Intuitionism," in: *The New Yearbook for Phenomenology and Phenomenological Philosophy* IV-2004. With respect to the inseparable relationship between intuition and rationality, Lerner writes as follows: "Phenomenology's revolutionary approach to the problem of reason consists in proposing a radical reform of the meaning of λόγος, which was traditionally reduced to the sphere of validating *inferences*, whether demonstrative, deductive, or argumentative. Husserl extends rationality to include the domain of phenomenological experiences wherein the formerly 'rational' procedures are themselves 'validated' – the ultimate source of which is 'originally giving intuition'. Rational, indeed, is the subject's life as a whole – whether perceptive, axiological, or normative." (R. R. P. Lerner, "Husserl versus Neo-Kantianism Revisited: On Skepticism, Foundationalism, and Intuitionism," 207).

in a peculiar sense. The belief that is based on the experiences that are neither evidential nor totally empty can be called less rational than the belief that is fully based on the evidential experience. Of course, among the beliefs that are based on the experiences that are neither evidential nor totally empty, some beliefs could be more rational than other ones. Thus, intuitive rationality is a concept with respect to which it is possible to observe different degrees.

From the genetic standpoint, the most original form of intuitive rationality can be called subjective. This means that the intuitively rational belief that a person has at a moment with respect to a certain fact could be considered to be valid only for that person.[13] We can name this kind of intuitive rationality subjective intuitive rationality. A belief that a person has at a moment can be changed into a belief that is valid not only for that person but also for others with whom that person can communicate. In this case, the rational belief can be called rational in a higher degree and the intuitive rationality observable in this kind of belief can be called intersubjective intuitive rationality. Needless to say, there are various degrees of intersubjective intuitive rationality. The highest form of intersubjective rationality is objective rationality. We can say that a belief can have objective rationality if it could be acceptable to all possible participants who could perform communicative action with respect to that belief.

2. The concept of intuitive rationality is pluralistic. This is due to the fact that the phenomenological concept of evidence is itself pluralistic. It should be noted, furthermore, that there is a basic difference between the phenomenological concept of evidence and the Cartesian one. As it is well illustrated in *Meditationes de Prima Philosophia*,[14] the Cartesian concept of evidence allows only one kind of evidence, namely apodictic evidence with which the object is given to the experiencing ego in an indubitable mode. Contrary to the Cartesian model of evidence, that of the phenomenological evidence is a pluralistic one.[15] There are various kinds of evidence according to the phenomenological model of evidence. Accordingly, it should be noted that there are various regions of objects such as the regions of physical objects, biological objects, psychological objects, cultural/historical objects, mathematical objects, *eidos* or essences etc. It should be also noted that those various regions of objects are not experienced in the same way but in many different ways of their own. This is the reason why the essential structure of evidence varies from one region of objects to another. For example, the essential structure of the evidence of physical objects is totally different from

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[13]One should not confuse this kind of belief with the belief based on a mere subjective validity in the Kantian sense, since it is open to intersubjective connection with other persons.

[14]R. Descartes, *Meditationes de Prima Philosophia,* Oeuvres de Descartes VII, publiées par C. Adam & P. Tannery, Paris: Librairie philosophique J. Vrin, 1973.

[15]I have dealt with the phenomenological concept of evidence in Nam-In Lee, "Experience and Evidence," in *Husserl Studies* (forthcoming). I have borrowed some passages below from this paper.

that of the *eidos*. The evidence of the experience of the categories as universal essences could be adequate, since it is possible in principle to grasp their structure without remnants,[16] whereas the evidence of the experience of physical objects cannot be adequate because it is impossible to perceive a physical object in its entirety without remnants. Thus, there is an essentially correlative relationship between the categories and the mode of their evidence, on the one hand, and between the physical objects and the mode of their evidence on the other. The passages from *Ideas I* and *FTL* certify this:

> Whether or not this or that evidence is possible in a given sphere depends on its generic type. It is therefore a priori prefigured, and it is countersense to demand in one sphere the perfection belonging to the evidence of another sphere (e.g. that of eidetic relationships) which essentially excludes it. (Hua III/1, 321; *Ideas I*, 333)

> Category of objectivity and category of evidence are perfect correlates. To every fundamental species of objectivities – as intentional unities maintainable throughout an intentional synthesis and, ultimately, as unities belonging to a possible 'experience' – a fundamental species of 'experience', of evidence, corresponds, and likewise a fundamental species of intentionally indicated evidential style in the possible enhancement of the perfection of the having of an objectivity itself. (Hua XVII, 169; *FTL*, 161)

There are as many different kinds of evidence as there are so many different kinds of region of objects. It is one of the tasks of descriptive phenomenology to make distinctions between different kinds of evidence. Husserl makes, for example, distinctions between adequate and inadequate evidence, between assertoric and apodictic evidence, formal and material evidence, etc. (cf. Hua III/1, 317 ff.; *Ideas I*, 329 ff.).

Since there are many kinds of evidence that correspond to different kinds of regions of objects, we can say that there are also many different kinds of rationality. Rationality that is observable in one region of objects is different from that observable in other regions of objects. We have to make a distinction between different kinds of rationality (e.g. physical scientific rationality, mathematical rationality, still further moral, economic, political, cultural, aesthetic, religious rationality, the rationality of the life-world, etc.). It is the task of the *theory* of intuitive rationality to clarify the structure of various branches of intuitive rationality in more detail.

3. From the genetic-phenomenological point of view, intuitive rationality is conditioned by the cultural tradition. In this respect, it should be noted that the evidence of the life-world is the genetic-phenomenological origin of all kinds of evidence. Intuitive rationality is conditioned by cultural traditions, since the life-world as the genetic-phenomenological origin of all kinds of evidence is nothing other than the cultural world itself. The thesis that intuitive rationality is conditioned by cultural traditions should not be understood as a kind of sheer relativism advocated by the proponents of postmodernism. Even if intuitive

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[16]In this context, Husserl writes as follows: "Every category of object […] is a universal essence which of necessity can be brought to adequate evidence in principle […]" (Hua III/1, 330; *Ideas I*, 341).

rationality is conditioned by cultural traditions, it does not imply a sheer relativism. This is due to the fact that some kinds of intuitive rationality could transcend the limitations of cultural traditions and be developed into objective rationality. It should be noted that, after all, different fields of the subject-matter have different structures of intuitive rationality. For example, the field of natural scientific research has a structure of intuitive rationality different from that of history. In some fields, such as art or religion, it could often be the case that intuitive rationality cannot be developed from its subjective or intersubjective phase into an objective one. In this case, cultural relativism has its validity. In other fields, such as mathematics, logic, natural sciences and partly in ethics, intuitive rationality can be developed into higher objective rationality. Cultural relativism has no place in these fields. It should be decided, through phenomenological analysis, whether or not intuitive rationality in a field could be developed from its subjective or intersubjective state into the state of objective rationality.

4. One might claim that the concept of intuitive rationality is an oxymoron. The distinction between intuition and inference in Descartes' *Regulae*[17] might motivate one to believe that intuition has nothing to do with rationality, whereas inference as a rational process involves rationality. The concept of intuition that Bergson distinguishes from intelligence[18] might also motivate one to believe that intuitive rationality is impossible. But that is not the whole story. In the long history of philosophy, one can also find the tradition that considers reason to be intuitive. A typical example is Platonism. Plato defines *nous*, i.e. reason, as the intuitive faculty that receives the ideas in the soul.[19] In this sense, the attempt to develop the concept of intuitive rationality could be defined as an attempt to rehabilitate the tradition that considers reason to be intuitive.

5. Some proponents of the theory of communicative rationality like Habermas would maintain that intuitive rationality has to be discarded, since it is subjective in its most original form and thus has limitations in explaining the process of gaining access to the intersubjectively valid truth. In this way, they will point out that it will be impossible for us to find out the intersubjectively valid truth with respect to a certain matter, if each of us sticks to what she/he considers to be intuitively rational and does not accept what *other* persons consider to be intuitively rational. In fact, there are cases in which it is impossible for the participants performing communicative action to find out the intersubjectively valid truth. Based on the example of these cases, some people might persistently maintain that the concept of intuitive rationality should be renounced after all.

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[17]R. Descartes, *Regulae ad directionem ingenii,* Oeuvres de Descartes X, publiées par C. Adam & P. Tannery, Paris: Librairie philosophique J. Vrin, 1974.

[18]H. Bergson, *L'Evolutiom créatrice*, in: Œuvres, Vendóme: Presses Universitaires de France, 1984, 645 ff.

[19]Plato, *Politeia*, 511d.

This kind of criticism on the concept of intuitive rationality is, however, off the mark. First, we actually see many cases in which, basing their statement on intuitive rationality, the participants performing communicative action find objectively valid truth. Secondly, it is also needless to say that there are cases in which, again basing their statement on intuitive rationality, the participants performing communicative action can*not* find any intersubjectively valid truth. These latter cases, however, do not show that the concept of intuitive rationality should be discarded. Rather, they show that intuitive rationality is an irrefutable concept that reflects the matter-of-course finitude of the human being. The concept of intuitive rationality has the merit of explaining not only why it is possible for us to find out the intersubjectively valid truth in some cases, but also why it is impossible in other cases.

6. Some critics might raise a basic question whether the concept of intuitive rationality is a tenable one at all, since it might be impossible for us to make a distinction between a belief with subjective intuitive rationality and an irrational belief like illusion. I believe that this kind of criticism is a valid one, for it is impossible for us to make a distinction between them in advance. If a person having an illusion maintains that his belief is a rational one, it would be impossible for us to check whether the person has an illusion or not. In this case, we have to reserve the possibility that the person's belief might have a subjective intuitive rationality. What we need in this case is tolerance. Of course, it should be examined intersubjectively whether the person really has a belief with intuitive rationality. We should not exclude the possibility that the person's belief could have intuitive rationality, even if it might seem to be irrational to common sense. Any kind of belief that a person considers to be rational should have the right to be examined intersubjectively. The concept of intuitive rationality is coupled with the premise that even those beliefs that seem to be totally irrational to common sense could be intuitively rational. It should be remembered that important discoveries of truth in the past were possible on the ground of the beliefs that might seem, at first sight, to be totally irrational to common sense. Therefore, we emphasize that tolerance is an essential component of intuitive rationality. Intuitive rationality and tolerance should always go hand in hand with each other. Intuitive rationality without tolerance could not be called rationality in a true sense.

4   The Structure of Critical Rationality

As mentioned at the outset, Habermas identifies critical rationality with communicative rationality. In doing so, he tends to ignore the role of intuitive evidence or formal-logical rationality as the constitutive moments of critical rationality. Apropos of this he states,

> The expectation that the correctness of an argumentation should be based on logical consistency and empirical evidence results from the false premise that an argumentation consists of a series of statements. (VE, 161)

As this passage shows, Habermas seems to claim that intuitive evidence and formal rationality might have nothing to do with critical rationality. In my view, Habermas' position is highly problematic. I do not deny that critical rationality contains communicative rationality as its constitutive moment; however, critical rationality should not be identified directly with communicative rationality, since the former consists not only of the latter but also of other kinds of rationality. For example, critical rationality should have formal-logical rationality as one of its constitutive components referring to formal consistency amongst statements. If a belief that a person has at a moment lacks formal-logical rationality, it cannot be called critical. Moreover, critical rationality should also have intuitive rationality as its constitutive moment. If critical rationality does not contain intuitive rationality in itself, it cannot be critical in a true sense, either.

Thus, critical rationality has at least three components, namely communicative rationality, formal-logical rationality, and intuitive rationality. Among these three components, communicative and formal-logical rationality are the formal components of critical rationality, whereas intuitive rationality is its content. In my view, intuitive rationality is the most important among the components of critical rationality. It is the core of the critical rationality. Critical rationality could not be critical in a true sense and overcome the crisis of modern society if it does not have the component of intuitive rationality. Let us suppose that, even though the all the members of a society are equipped with perfect communicative rationality and communicate with each other perfectly, they are so severely limited as not to have intuitive rationality. In this case, they would not have any chance of overcoming the crisis with which they are faced. Thus, contrary to what Habermas claims, communicative rationality alone would not be able to truly criticize modern society and overcome its crisis. The fact that communicative rationality functions perfectly in a society does not guarantee that the society could be free of crisis and pathology.

Since intuitive rationality is the core of critical rationality, no critical theory whatsoever can be thought to be truly critical if it does not take account of the critical power of intuitive rationality. It is also the case with Habermas' theory of communicative action that claims to be a critical theory. Even though Habermas does not deal with intuitive rationality, he also would have to admit that intuitive rationality has its own critical power. For example, he develops his theory of communicative action with the observation that modern society is pathological. The question that can be raised in this regard is how he could diagnose modern society as pathological at all. In my view, it is not communicative rationality but intuitive rationality that enables him to "see" the pathological feature of modern society. Thus, without the power of intuitive rationality, the theory of communicative action cannot even be launched as a critical theory.

Moreover, it should be noted that intuitive rationality can be conceived as the condition of the possibility of communicative rationality at all. Communicative rationality, in a true sense, cannot function prior to intuitive rationality. If the participants in communication could not experience a world in advance and do not have intuitive rationality with respect to that experience, it would be meaningless for them to take part in a communication concerning any matters of the world. For example, it would

be meaningless for those who are totally blind to the religious world to take part in a communication concerning religious matters. This should be the case not only for the religious world, but also for any worlds, might it be the physical, historical or social world or the world of art.

Intuitive rationality, as the condition of the possibility of communicative rationality, determines the types of communication. Even though Habermas makes a distinction between different kinds of communication such as theoretical, practical and aesthetic discourse (criticism), he does not discuss why they could be distinguished from each other. He seems to hold the view that the difference between various kinds of discourse is inherent to the structure of communicative rationality itself. In my view, such difference is due to the fact that different kinds of world yield different structures of intuitive rationality that also condition the structures of communicative rationality itself.

Since intuitive rationality is the condition of the possibility of communicative rationality, the constellation of the latter is crucially influenced by that of the former. In order to shed light on the entire constellation of communicative rationality, it is necessary to analyze the structure of intuitive rationality. It is the future task of a *phenomenological* theory of critical rationality to clarify the constellation of critical rationality by describing the various ways in which communicative rationality is influenced by intuitive rationality.

The concept of intuitive rationality as the condition of the possibility of communicative rationality shows that Habermas' theory of communicative action is highly problematic in many respects. In this regard, I'd like to point out the following two points.

1. The concept of the ideal situation of discourse that Habermas considers to be the condition for the discovery of truth is not so obvious as Habermas claims it to be. Habermas claims that, in an ideal situation of discourse, everyone should have the same right to give opinions concerning a fact.[20] Only in this case would it be possible for the participants in a discourse to get consensus on a fact that could transcend the social and historical restriction. However, the exposition of intuitive rationality as the condition of the possibility of communicative rationality shows that Habermas' claim is highly problematic. Ideal situation of discourse should not be provided unconditionally to all persons, but only to those who can have intuitive rationality of a fact to be discussed. The person who is blind to the given fact should not be allowed the same right in communication as the person who does have intuitive rationality concerning that fact. In certain circumstances, for example, the discourse performed could be extremely irrational if laymen have the same right as experts on a certain special topic.

2. As discussed above, one of the most important aspects of intuitive rationality is that it is essentially conditioned by cultural traditions. For this reason,

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[20]For example, VE, 177.

communicative rationality is also conditioned by cultural traditions. Habermas' theory of communicative action has serious problems, since it does not take account of the fact that communicative rationality is conditioned by cultural traditions. For example, Habermas' conception of a universal pragmatics thereby turns out very problematic. Habermas develops his universal pragmatics as a discipline dealing with the universal conditions of the possibility of communication that should go beyond the limitations of cultural traditions. In this line of thought, Habermas talks about "understandability" as one universal condition for communication. Understandability means that each person participating in a communication should use grammatically correct sentences and clear expressions so that other persons can understand correctly what she/he is claiming. Yet, contrary to what Habermas maintains, understandability cannot be claimed to be a universal condition of the possibility of *all* kinds of communication. There are some kinds of communication that could be called rational even though they do not fulfill the condition of understandability. A typical example might be the communication that is carried out by the monks in Zen-Buddhist temples. As is well known, they make intentional use of difficult, dubious sentences and solecism. The ideal ways in which communicative rationality functions can differ from one cultural tradition to another.

In my view, Habermas' universal pragmatics is not universal at all, but is conditioned by the western cultural tradition, especially by the tradition of positivistic philosophy. Even though Habermas aims to criticize positivism, he also falls a victim of positivism in a way or another. Habermas attempts to criticize the rationality that is defined too narrow by positivism, i.e. instrumental rationality, and seeks to restore a wider conception of rationality" (VE, 605) than that of instrumental rationality. Needless to say, the wider, original conception of rationality that Habermas attempts to restore is communicative rationality, which is the central cornerstone of his theory of communicative action. However, his communicative rationality could not be an original one, because, dealing with communicative rationality, he did not take intuitive rationality into account and instead derived the concept of communicative rationality from what he calls theoretical discourse.

Even though Habermas criticizes positivism and its cognitive-instrumental rationality, there exists an affinity between rationality of this kind and his own conception of rationality, i.e. communicative rationality. There is a positivistic and universalistic trait in his conception of communicative rationality and this trait is corroborated by the fact that he does not deal, for example, with religious discourse in his theory of communicative action. His conception of communicative rationality has, after all, nothing to do with religious rationality that is heavily conditioned by cultural traditions.

I do not deny the possibility of developing a universal pragmatics in a true sense. Yet, the universal pragmatics in this sense cannot be the same as the Habermasian one that is developed on the soil of the cultural tradition of the European sciences. The universal pragmatics in a true sense should be developed

on the basis of intercultural dialogues between various cultural traditions. In these intercultural dialogues, Habermas' conception of a universal pragmatics turns out to be one that does not have objective rationality but rather subjective or inter-subjective rationality. The components constitutive of this universal pragmatics could not be as rich as those of Habermas' universal pragmatics. For this reason, it should be noted that "understandability" cannot claim to be a constitutive component of the universal pragmatics in a true sense. Of course, one should not imagine that the universal pragmatics in a true sense might be totally empty in its contents. One possible component of our *true* universal pragmatics would be, I presume, like the following: have a good will to find out what the truth is.

Can a Schelerian Ethic Be Grounded in the Heart without Losing Its Head?*

Philip Blosser

A dominant assumption throughout the western tradition is the primacy of *logos* over *pathos*, reason over appetites, rational understanding over sense perception. *Logos* confers order, while *pathos* inherently tends toward disorder. We find this in Plato. We find it in Kant, where Scheler refers to it as rational "constructivism."[1] Scheler rejects this classic dualism – but only to re-invoke it under the principle of the primacy of the heart. Scheler, too, distinguishes between *logos* and *pathos*, between reason and the emotions. Reason offers access to the world of logic. Emotions offer access to the world of values; and, for ethics, it is values that are decisive. Scheler thus retains the distinction but *inverts* the priority: he rejects the *classical* view that emotions are primarily an impediment to reason in favor of the *romantic* view that emotionality is inherently superior to reason.[2] *Intentional* feelings, in any case, present us with what he describes as

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[1]Max Scheler, *Gesammelte Werke*, II: *Der Formalismus in der Ethik und die materiale Wertethik*, ed. Maria Scheler (Bern: Francke Verlag, 1980), 68, 86; translated by Manfred Frings and Roger L. Funk as *Formalism in Ethics and Non-Formal Ethics of Values* (Evanston, IL: Northwestern University Press, 1973), 47, 66. Henceforth these two works will be cited by the abbreviations (GW II 68, 86/F 47, 66), where "68, 86" are the page references of the German original (*Gesammelte Werke*, II) and "47, 66" are the page references of the English translation (*Formalism*).

The reference to Kantian "constructivism" is found throughout Scheler's discussions of Kant (esp. in: *Formalismus*), but is also attributed to the earlier Scheler by Moritz Geiger ("Zu Max Schelers Tode," in: *Vossische Zeitung*, June 1, 1928, quoted in Herbert Spiegelbert, *The Phenomenological Movement*, *Phaenomenologica*, No. 5, 2nd ed. (The Hague: Martinus Nijhoff, 1976), I, 236), and refers generally to the Kantian notion of a law-giving, order-conferring, structure-imposing transcendental subject.

[2]See Paul Thagard's essay, "Critique of Emotional Reason," in Cornelis de Waal, ed., *Susan Haack: A Lady of Distinctions: The Philosopher Replies to Her Critics* (Buffalo: Prometheus Books, 2006), 283–293.

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a type of experiencing whose "objects" are completely inaccessible to reason; reason is as blind to them as ears and hearing are blind to colors. It is a kind of experience that leads us to *genuinely* objective objects and the eternal order among them, i.e., to *values* and the order of ranks among them. And the order and laws contained in this experience are as exact and evident as those of logic and mathematics … [and provide a basis for] a genuine grounding of moral decisions …. (GW II 260/F 255)

Scheler is making several startling claims here. First, he is claiming that the objective order of *values* is accessible to us only through a type of experience that belongs to the affective order of the heart – through *feeling,* albeit through object-directed *intentional* feeling (*intentionales Fühlen*), like the feeling for beauty, as opposed to a static "feeling state" (*Gefühlszustand*) that arises in us, like a headache. Second, he is claiming that the faculty of *value-feeling* that belongs to this order of the heart does not require subsequent clarification by reason, but has *its own* "reasons" – its own "order" and "laws" – that provide the true basis for moral decisions. Third, he is claiming that the classical prejudice granting primacy to *logos* over *pathos* is mistaken – that the affective order of the heart has its own ordering principles (values) to which feelings alone offer access; hence, there is no question of its needing to be submitted to *reason* for guidance.

Now why does Scheler think this? Is this true? What is "reason," for Scheler? What is it about "reason" that leads him to see the need to dispense with it in ethical decision making? How are the heart's "reasons" different from the "reasons" of reason? How does apprehending a value in intentional feeling differ from apprehending it in intellectual understanding? (Would Scheler even permit us to say that we have an "intellectual understanding" of value?)

From his pre-phenomenological period in Jena, Scheler already exhibited a keen interest in circumscribing and defining the material regions of logic and ethics as each having their own autonomous, irreducible principles. This is evident in his dissertation of 1897, as well as in his *Habilitationsschrift* of 1899, which reveals also a growing dissatisfaction with transcendental and psychological methods of approaching these issues.[3] He would eventually abandon the Kantianism of this period, which he embraced tentatively under the tutelage of his Neo-Kantian professor at Jena, Otto Liebmann, among others.[4] Yet if these early writings reveal the influence of Kantian "constructivism" – which persisted as late as ca. 1906 in his unpublished manuscript, *Logik I* – they also reveal a growing dissatisfaction with many of these influences, along with increasingly independent strategies for defending the autonomy

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[3]Scheler's dissertation (1897), written under Rudolf Eucken at Jena, is entitled "Beiträge zur Feststellung der Beziehungen zwischen den logischen und ethischen Prinzipien." His *Habilitationsschrift* (1899) is entitled "Die transzendentale und die psychologische Methode: Eine grundsätzliche Erörterung zur philosophischen Methodik." Both can be found in: Scheler, GW, I.

[4]It is significant that one of Scheler's professors at Jena was Otto Liebmann, whose *Kant und die Epigonen* (1865) and famous motto "Back to Kant" eventually earned him the title, "Father of Neo-Kantianism," and that Scheler wrote his dissertation under Rudolf Eucken. See Spiegelberg, *Phenomenological Movement*, I, 235; and also Harold J. Bershady's "Introduction" to his edition of selected writings by Max Scheler, *On Feeling, Knowing, and Valuing* (Chicago: University of Chicago Press, 1992), 6ff.

of ethical and logical principles against the reductionistic tendencies of psychologism and naturalism.[5] All of these factors converge to suggest the inevitability of Scheler's phenomenological turn and of his particular intensity of interest in the issues surrounding the *ordo amoris* – the heart's order of loves and hates.

Scheler takes reason to be a calculating faculty concerned with analyzing the formal relations of logic. This, of course, is not the only way in which reason may be understood, but it is how Scheler understands it. As a calculating logical faculty, therefore, reason is not concerned with material content. Hence, it is natural that Scheler sees what he calls Kant's "empty formalism" as the debilitating and obfuscating companion to his rational "constructivism." This view of reason is what prevents Kant from grasping the objective order of values as given a priori in intentional feeling. By contrast, Kant's "identification of the 'a priori' with the 'formal,'" Scheler declares, "is a *fundamental error* of Kant's doctrine." (GW II 74/F 54). It prevents Kant from even considering the possibility of an a priori order of values given as a material content of experience. Instead, Kant succumbs to a "mythology" of productive rational activity expressed in the distinction between "spontaneity" of thought and "receptivity" of sensibility, resulting in what Scheler calls a "purely constructivistic explanation of the a priori contents of objects of experience … based on the very *presupposition* that only a 'disordered chaos' is 'given' – either in the form of sensations or inclinations (GW II 86/F 66). Thus: "*Hume's notion of nature required Kantian understanding, and Hobbes' notion of man required a Kantian practical reason.*" (GW II 87/F 66). Yet such a contructivistic theory is completely unwarranted by the phenomenological data. It is embraced only because of the atomistic sensualism that Kant took over from Hume on "blind faith," and the "Puritan" spirit of distrust of human nature and its impulses, as far as these are not subject to systematic, rational self-control (GW II 87 n./F 67 n.23).

Scheler counters this Kantian rationalistic constructivism in two ways. First, in his phenomenology of the objective contents of consciousness, he counters the absolutism of logic[6] by means of his Pascalian apologetic for an objective

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[5]Neo-Kantians such as Hermann Cohen regarded logic as generating its own content as well as forms, and Scheler's early view of logic was not dissimilar, as can be seen from his unfinished manuscript on logic (ca. 1906) where he opposes Lotze's and Husserl's view of "correspondence" to an "objective truth in itself," insisting that, rather, thought generates its own truth (Max Scheler, *Logik*, I, *Elementa*, 3, ed. by R. Berlinger and W. Schrader [Amsterdam: Rodopi, and Atlantic Highlands, NJ: Humanities, 1975], 140–165). Scheler later wrote that he held back publication of this manuscript because he became dissatisfied with Kantian philosophy (Sceler, "Deutsche Philosophie der Gegenwart," in: *Deutsches Leben der Gegenwart*, ed. by P. Witkop [Berlin: Wegweiser, 1922], 197–198). Even so, one finds in this manuscript a noteworthy defense of the autonomy of logical thinking over against the reductionistic tendencies of the psychologism and naturalism so prevalent at the end of the nineteenth century, corresponding to his defense elsewhere of the autonomy of ethics and value-feeling.

[6]I use "logic" to refer to the objective analytical structures dealt with by logicians, the objective contents of consciousness constituting the material region of the science of logic and conceptual analysis. By contrast, I use "reason" or "rational understanding" to refer to the subjective faculties, intentions, and acts by which logical structures are apprehended and analyzed.

order of value-phenomena that is completely independent of logic. Second, in his phenomenology of subjective modes of consciousness, he counters the absolutism of reason[7] by his brilliant apologetic for subjective intentionalities of value-awareness that are independent of reason. I have developed this analysis of Scheler's views in detail elsewhere.[8] Here, however, it will prove useful to note the work of two phenomenologists, Stephen Strasser and Karol Wojtyla, who have challenged Scheler at this point.

1 Two Challenges to Scheler's Views

Stephen Strasser. In his book, *Phenomenology of Feeling*,[9] Strasser admits a significant role for feeling in our perception of values, but he disputes the primacy of the heart. Rather, he insists, "at every moment, even of my mature existence, I am engaged in development – from Bios through Pathos to Logos" (Strasser 172). Indeed, he comments on Pascal's famous saying as follows:

> It is indeed not a matter of knowledge being registered in the manner of double-entry book-keeping: once under 'heart' and another time under 'head.' Rational and non-rational moments in no way stand in a relation of irreconcilable opposition; that which distinguishes them does not divide them …. Just the opposite: knowledge that is of full value normally occurs through bringing together rational and non-rational moments into a unified world-picture. (Strasser, 133f.)

The eminent Scheler scholar, Peter Spader, in Chapter 11 of his excellent book, *Scheler's Ethical Personalism: It's Logic, Development, and Promise* (2002),[10] counters Strasser's criticism by noting that Scheler does *not* claim that the logic of the heart *contradicts* the logic of reason. Rather, Scheler's claim is that they are different, and that reason is simply blind to value. Moreover, the fact that feeling and reason are complementary (Strasser, 134), says Spader, "is not evidence that all that we are given is accessible to both," but suggests an autonomous area proper to each (Spader, 258).

Karol Wojtyla. An even more fundamental challenge to Scheler's view of an autonomous Pascalian faculty of the heart as an adequate basis for moral decision making is raised by Karol Wojtyla. Already in his early essay, "The Problem of the Separation of Experience from the Act in Ethics in the Philosophy of Immanuel

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[7]See previous note.

[8]See Philip Blosser, "Scheler's *Ordo Amoris*: Insights and Oversights," in *Denken des Ursprungs/ Ursprungs des Denkens: Schelers Philosophie und ihre Anfänge in Jena*, ed. Christian Bermes, et al. (Würzburg: Königshausen & Neumann, 1998), 160–171, where the following analysis is developed in detail.

[9]Stephen Strasser, *Phenomenology of Feeling*, trans. by Robert E. Wood (1956: rpt. Pittsburgh, PA: Duquesne University Press, 1977). This work will be cited hereafter as (Strasser).

[10]Peter H. Spader, *Scheler's Ethical Personalism: It's Logic, Development, and Promise* (New York: Fordham University Press, 2002). Hereafter this work will be cited as (Spader).

Kant and Max Scheler" (1955–1957),[11] he argues that in Scheler's theory the essential *act*-structure of moral decision making, involving a decided role of rational deliberation and willing as basic elements of human agency, drops out of view beneath the horizon of affective value-experience. This is the effective result, he suggests, of Scheler's theory that moral value emerges only "on the occasion" – literally "on the back" (*auf dem Rücken*) – of willing, as a *by-product* of willing the realization of a *non-moral* value, instead of as a result of directly willing the realization of good and evil – the two values most basic to personal agency. He writes: "We are standing here in the presence of the phenomenologist's fatal mistake. Scheler fails to perceive a most elementary and basic truth, namely, that the only value that can be called ethical value is a value that has the acting person as its efficient cause." (38). But ethical value falls into the background and "the very act, the very realization, in which … [moral] value actually arises remains outside this experience of ethical value." Wojtyla asks, then, whether, despite all Scheler says, this does not represent a residual "Kantian noumenalism" in his ethics (42). The experience of actual moral agency itself falls into eclipse, suggests Wojtyla, as if it were a Kantian *noumenon*, a thing-in-itself beyond the possibility of experience, while phenomenological experience is restricted, essentially, to emotionally enriching Sunday afternoon walks through a botanical garden of *non-moral* values.

In *The Acting Person* (1979),[12] Wojtyla further presses the inadequacy of the experience of value feelings as a sufficient basis for moral decisions. In a discussion about the relationship between action and emotion, he says that "emotional dynamism introduces a spontaneous turn toward certain values" – a turn originating in nature, since "emotions follow the orientation of nature, which … is expressed by instincts" (251). The attraction and repulsion that characterize this emotional dynamism "are not at first defined as to their object," he says. "To define them in this respect is the task and function of the person and thus of the intellect, which cognitively forms man's attitude to truth, in this case the truth about 'good' and 'evil'" (251). Hence, "The intellect has precedence over emotion, over the emotive spontaneity of the human being, and denotes the power and the ability to be guided in choice and decision by the truth itself about good" (249).

If what is received through value feeling is given in purely passive spontaneity, Wojtyla suggests, then something else must assist in choosing between those values thus apprehended in order for there to be an authentic decision – and that is precisely the function of reason. "The man who in his attitude to values would rely

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[11]Karol Wojtyla, "Problem oderwania przezycia od aktu w etyce na tle pogladow Kanta i Schelera," *Roczniki Filozoficzne* 5.3 (1955–1957), 113–140; translated by Theresa Sandok as "The Problem of the Separation of Experience from the Act in Ethics in the Philosophy of Immanuel Kant and Max Scheler," in Chapter 2 of Karol Wojtyla, *Person and Community: Selected Essays* (Catholic Though from Lublin, Vol. 4), trans. Theresa Sandok, OSM (New York: Peter Lang, 1993), 23–56.

[12]Karol Cardinal Wojtyla, *The Acting Person* (Analecta Husserliana, v. 10), trans. Andrzej Potocki with Anna-Teresa Tymieniecka (Dordrecht: D. Reidel Publishing Company, 1979). The original Polish edition, *Osoba I czyn*, was published in 1969.

solely on the way his feelings develop is confined to the orbit of what only *happens in him* and becomes incapable of self-determination," he writes (233, emphasis added). But this is not what we find in moral decision making. "To 'choose' does not mean to turn toward one value and away from others," says Wojtyla, but rather "to make a decision according to the principle of truth, upon selecting between possible objects [deeds] that have been presented to the will"; moreover, since "it is owing to the knowledge of objects that the reference to truth is actualized, their knowledge is a necessary condition of choice and decision making" (137). Accordingly, he throws down the gauntlet, pointing out that "self-determination and … self-governance often require that action be taken in the name of *bare truth* about good, in the name of *values that are not felt*. It even may require that action be taken *against one's actual feelings*" (233, emphasis added).

If *value-feelings* merely passively "happen" within us, as Wojtyla suggests, then it is difficult to see how they could serve as the basis for moral decision making. Moreover, even Scheler agrees that "all 'choosing' takes place between different deeds" (GW II 105/F 87), not between different values, as such. The question, then, is how does Scheler think it possible that we have access to a basis for such choice through value-feelings? If Wojtyla's challenge is to be overcome, Scheler must be able to show how choosing *against one's actual feelings* and *in the name of values not felt* can be accounted for *within* the affective sphere of the heart and *without* recourse to reason.

2   Spader's Defense of Scheler Against Wojtyla's Criticisms

First, Spader begins his defense of Scheler by reminding us of "just how complex" Scheler's view of the world of feelings is (Spader, 260) for Scheler, as he points out, there are several distinct *levels* of feeling – at least four, to be exact. The first is that of non-intentional *feelings states* such as pleasure and pain, which simply arise in us (like a headache). The second are *intentional feelings*, which are always directed "feelings of" or "feelings about" something (like the feeling of awe for an act of moral heroism). This is the level of feeling at which *values* are apprehended by us. Third is the level of acts of *preference* (like the preference for the "spiritual" or "cultural" strata of values over the merely "biological"), which are not conscious choices but nevertheless cognitive acts, which are directed, not at values as such, but rather at *ranks* of values. Finally, the fourth level is that of *acts of love and hate*, which are not cognitive acts at all. Rather, they are spontaneous acts, which, says Spader, are neither passive, as Wojtyla considers them, nor reactive, but "creative" insofar as they extend or contract the realm of values perceptible to an individual. Thus, although we commonly say that "love is blind," it is in fact the opposite: love opens up our vision, whereas hate is blind, because it prevents us from seeing the values that are objectively present in another.

Furthermore, it is important to note that for Scheler these levels of feeling are not consecutive or cumulative, the latter building upon the former: "The feeling

of values is by no means a 'foundation' for the manner of preferring, as though preferring were 'added' to the values comprehended in a primary intention of feeling as only a secondary act," says Scheler. "Rather, all *widening* of the value-range (e.g., of an individual) takes place only 'in' preferring and placing after" (GW II 107f./F 89). The same is true of love and hate, which are acts that enable the acts of preference and placing after to enlarge or diminish our access to the realm of values.

Second, in response to Wojtyla's challenge that we sometimes act in the name of values *not felt*, or even *against our feelings*, Spader argues that such action can be accounted *without* having to resort to reason, provided we recall the aforementioned complexity of levels of feeling in Scheler's analysis. Spader's argument comes to saying that in cases where we act in the *absence* of feeling for certain values, or *against* certain felt values, we are acting actually in response to *other* (perhaps more weakly) felt values. For example, the phenomenon of acting against our feelings can be explained, Spader suggests, by the hypothesis that "love is working within me to open me to new higher values," even while "the call of the lower is still strong in my heart" (Spader 260). Taking action against our feelings, therefore, does not involve any need for the intervention of reason.

Third, in response to Wojtyla's challenge that value-feelings simply "happen" within us, Spader argues that on a much deeper level than is involved in ordinary choices of deeds, we do "choose" our affective dispositions in *some* sense – by closing ourselves off and nursing our grudges and resentments and hatreds or opening ourselves to the possibilities of love:

> But such an "opening" is at so deep a level of our being that it is at best only an analogue to ordinary "choice," and how it occurs is a mystery we live through at the heart of our being. Thus Scheler's position does not rob us of true choice and true self-determination, for although the intentional affective acts that give us access to values and their hierarchy do involve "passive receptivity" (they are, after all, acts of "seeing," just as rational knowing is a "seeing"), they are not simply passive happenings within us, and we do choose to see or not to see. (Spader 263)

Thus, while Spader says that Wojtyla is correct in noting that simply "feeling" a value is insufficient grounds for choosing that value, he insists that Scheler's insight into the complex levels of affectivity allows us to see that "feeling" is far from *simple*.[13] It is on this basis that he defends Scheler's view that values are given only in "feeling" without *any* contribution by reason in the role of apprehending objective values and their hierarchy, and defends the claim that feeling needs no assistance of reason in the task of moral decision making.

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[13]Spader acknowledges that some philosophers do, in fact, restrict the word "feeling" to what "happens within us," using the term "emotion," on the other hand, for intentional feelings. See, for example, Robert C. Solomon, "Emotions and Choice," *Review of Metaphysics* 27, no. 105 (1973), 20–41. Nevertheless, Spader says he prefers to employ the term "feeling" with all its full multifarious richness of signification, although he admits this is more difficult to do in English than with the root word in German. (263, n. 1)

Fourth, Spader allows a subsidiary role for reason in moral decision making. Having defended Scheler's view of the primacy of the heart and its affective apprehension of values against the criticisms of Strasser and Wojtyla, Spader nevertheless acknowledges that their criticisms highlight a serious lacuna in Scheler's position. "Scheler was so concerned to show that feeling alone gives us *access* to values," he concedes, "that he does not give enough emphasis to the role that reason may validly play in moral decisions" (Spader 264). Moral decision making does not occur on the level of affective value-feeling, Spader admits, even though we can choose only between acts bearing values apprehended in value-feeling. A person is morally good or evil not simply by virtue of "feeling" certain values, but by the conative act of choosing. As Scheler states, it is through *willing*[14] that one realizes ideal values apprehended through intentional acts of feeling and thereby also brings about, as a by-product, the realization of moral values (GW II 47/F 25). It is at this level of conative choice of deeds that Spader says reason may have a valid role to play.

Furthermore, like any conative activity, willing is accompanied by a sense of confidence in one's ability to carry through an action and achieve an intended end – a sense of "being-able-to-do" something. This sense is, for Scheler, not simply a conceived judgment of thought, but rather "a special kind of conative consciousness" (GW II 144/F 120). By contrast, when we experience a sense of *impotence* – a sense of "not-being-able-to-do" something (*Ohnmacht*) – we give up and cease willing. Over time, "from the original volitional aims, 'possible' ones are only gradually *filtered*, and within this sphere of what can be done there is again a gradual filtration of what can be realized through this or that kind of acting" (GW II 141/F 126). It is precisely here that Spader says he believes that *reason* may come into play in moral decision making. This is because reason "provides precisely the kind of discursive, analytic, calculating thought that may well contribute to the organization and judgments of what we can, in *deed*, 'be-able-to-do' [*sic.*] (even if it is originally *given* only in conative consciousness)" (Spader 265).

Moral choice may therefore *involve* reason, according to Spader, but this does not mean that "reason completes what feeling starts in the sense that reason *adds* anything to what feeling provides"; rather, it only means that reason simply "provides technical assistance" at the level of choosing which non-moral values to realize (Spader 265). The process of filtering out what can be realized, as Scheler suggests, is not creative: "It is first of all *negative* and *selective* within the *span* of *original* volitional contents determined by the contents of specific *value*-qualities" (GW II 141/F 126). Accordingly, reason does have a role to play, but it is extremely limited and subordinated to the roles of feeling and willing. Furthermore, the primacy of feeling is retained, since it is feeling that allows us to perceive values and their rankings – phenomena to which reason remains blind.

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[14]Spader notes (264, n. 2) that Scheler's view of willing here in *Formalismus* differs from his later pantheistic period in which willing as the vehicle of realization is replaced by "impulse" (*Drang*).

3   A Classical Assessment

The phenomenological approaches of both Strasser and Wojtyla assume the classical view of the primacy of the intellect over the emotions, as we have seen. This assumption is usually part of a larger, classical frame of reference of the sort found in the Lublin Thomist background of Wojtyla's writings.[15] In the interests of furthering this conversation between the classical and Schelerian perspectives, let us imagine how a classical response might proceed.

It may be pointed out that Spader's analysis, as insightful and nuanced as it is, appears to have overlooked something essential. It seems either to offer no place for the intellectual understanding of moral experience in the course of moral decision making, or else to appropriate to the affective intentionalities of value-feeling and preference those prerogatives of discernment that are traditionally ascribed to rational understanding and rational judgments about the good. In short, Spader's account seems to collapse the role of intellectual understanding into that of feeling. This cannot be seen as helpful from the classical perspective, since it would seem to undercut the deliberative and adjudicative relation of intellectual understanding to willing. Let us follow this conversation a bit further.

First, if acting in the name of *values that are not felt*, or even *against one's actual value-feelings*, is to be explained by reference to other (perhaps more weakly) felt higher values, as Spader suggests, then the question must be answered as to what galvanizes our will to choose in the name of these other (perhaps more weakly) felt higher values, against the often more strongly felt "call of the lower." The first issue here concerns how we come to the moral awareness that we must act on the basis of these other (more weakly) felt values. Spader says that it is through an "affective reflection" (Spader 262). Granting that affective feeling is involved in such reflection, it may still be asked what the *cognitive* conditions are for the possibility of such a reflective operation. It cannot involve *intellectual understanding*, on Spader's view, since that has been precluded as a matter of principle by his commitment to the Schelerian ideal of the autonomian heart and its primordial feelings. The second issue here concerns how affective value-feelings of the heart can be harnessed in the service of moving the will in acts of choosing between alternative *moral* actions in the absence of intellectual understanding of, and rational deliberation upon, these moral alternatives involved in our choice. We have seen Wojtyla acknowledge that the emotional dynamism involved in value-feeling introduces a "spontaneous turn toward certain values," but we have also seen him insist that such

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[15]"Lublin Thomism" is associated with the Department of Philosophy that was opened at the Catholic University of Lublin, Poland, in 1946, as part of a movement of Polish nationalism and Catholicism intended to combat the Marxist view of human nature and to develop a positive philosophical anthropology, metaphysics, and ethics. See the series of volumes published in the *Catholic Thought from Lublin* series under the general editorship of Andrew N. Woznicki, which includes, as the fourth volume in the series, Karol Wojtyla's *Person and Community: Selected Essays*, trans. Theresa Sandok, OSM (New York: Peter Lang, 1993).

an inclination is not yet a sufficient ground for establishing moral choice, since it is not yet morally defined as to its object – a task that in his view requires rational analysis (Wojtyla, *Acting Person*, 251).

Second, it is hard to see how Spader's Schelerian account of the feelings of love and hate involved in the *ordo amoris* can avoid the accusation of equivocating between affirming and denying that these feelings are "chosen." On the one hand, they are acts of "passive receptivity" – like seeing, he says. In this sense they simply occur within us and are not "chosen" – at least, not in the way that ordinary deeds are chosen. On the other hand, on a more profound level, just as we may or may not choose to "see" what we look at, so we may or may not "choose" to open ourselves to feelings of love. In this sense, they do *not* simply "happen within us," but are the product of a mysterious "analogue to ordinary 'choice.'" This may well be true. Yet the dual-level complexity of this answer may be seen as permitting Spader to evade the full force of Wojtyla's question about how our moral choices are formed by an understanding of truth about the good. While acknowledging an "analogue to ordinary 'choice'" involved in our fundamental affective dispositions, this answer could be seen as evading the full-brunt of the question about taking responsibility for individual deeds. By effectively reducing moral responsibility and agency to this "analogue to ordinary 'choice,'" Spader makes himself vulnerable to the problem Wojtyla noted in Scheler about how the full act-structure of moral decision making drops out of view in his writings beneath the horizon of affective value-experience.

Third, it will be noticed that the role Spader allots to reason strips it of any possibility of contributing anything to what can already be found in feeling and willing, beyond the "technical assistance" of filtering which non-moral values one has the ability to realize, on the assumption that what is found in feeling and willing is sufficient for moral decision making. On the one hand, Spader offers the critical insight that "Scheler was so concerned that feeling alone gives us *access* to values that he does not give enough emphasis to the role that reason may validly play in moral decisions" (264). On the other hand, however, it may be wondered whether the same could not be said for Spader in view of the monopolistic hegemony he assigns to the value-apprehending function of feeling and truncated role he allots to reason. Spader limits the role of reason to the "technical assistance" of providing discursive, analytic and calculating thought to help us in our judgments (given originally in conative consciousness) about what we are in *deed* "able-to-do." It is limited to the negative, selective, filtering process of sorting out the volitional options already given in conative consciousness and determined by values already given in value-feeling. Intentional feeling, thus, holds a complete monopoly on the operation of value-apprehension. Primacy belongs to feeling *alone*, as Spader says, "for it is feeling that allows us to see values and their hierarchy, a seeing to which reason is blind" (265).

Spader effectively shows how conflicts between value-feelings may occur, and how one may turn toward one value and away from others through acts of preference and love – *without* recourse to reason. But it will be countered from the classical perspective that this is not the same as showing how *moral decisions* are made without the aid of reason. As Wojtyla points out, choosing does not mean merely "to turn toward one

value and away from others," but rather "to make a decision according to the principle of truth, upon selecting between possible objects [i.e., deeds] that have been presented to the will" (*Acting Person*, 137). This activity of "selecting" between possible objects or deeds is something other than a matter of value-feeling. Indeed, Spader readily acknowledges that "Scheler and Wojtyla agree that moral choice is between deeds, not values" (Spader 259). Yet if moral agency is a matter of choosing between deeds, as opposed to values, and of making decisions "according to the principle of truth," then how is it that *value-feeling* achieves this? True, Spader acknowledges that although intentional affective acts do involve "passive receptivity," they are not merely "passive happenings within us," but involve some kind of mysterious "analogue to ordinary 'choice.'" The question, however, is by what agency this choice is executed. This point is of critical importance to Wojtyla, who says that since "it is owing to the knowledge of objects that the reference to truth is actualized, their knowledge is a necessary condition of choice and decision making" (*Acting Person*, 137).

In the classical tradition of philosophy, understanding is the first act of the intellect, the act by which we apprehend a given object (or deed) and its nature. Truth, furthermore, is the correspondence between the object apprehended and my understanding of it that finds expression in the second act of the intellect: judgment. In Wojtyla's view, when I am confronted with the experience of rival value-feelings, what allows me to adjudicate and *choose* between these rival repulsions and attractions is not something capable of being found within the affective order at all. This is because, unlike the cognitive act of preference, which is not a conscious choice, it must involve an act of conscious and deliberate choice informed by *understanding*. More precisely, it is *understanding* the truth about the good, in the first place, to use Spader's example, which enables me to *choose* to open my heart to the weaker nascent feelings of love toward another for whom my stronger overriding feeling is hate.

4　Conclusions of the Classical Analysis

At least four conclusions follow from this classical analysis. First, it may be acknowledged that we can feel what we do not yet understand. In this sense Scheler is correct about the primacy of feeling. We can feel values without intellectually understanding the truth about their relationship to the good. Thus, the fact that we can thus apprehend values in intentional feelings does not mean that we yet grasp them intellectually. Feeling involves an important kind of apprehension, but it is not conceptual understanding.

Second, values are not apprehended only by feeling, as Scheler supposes, even if they are apprehended *first* by feeling. They are also apprehended by the intellect and thus subjected to conceptual analysis for understanding and moral judgment. The primacy of feeling – in the sense that feeling is the first to apprehend values – is in no way compromised by this conclusion. However, the assumption that feelings *alone* are capable of apprehending value would be dismissed out of hand as an unfounded imperial and reductionist conceit.

Third, only the intellect is able to *understand* the truth about the good. Feelings are not. The value of truth may be *felt* by intentional value-feeling, but not understood. Understanding is an operation of the intellect, not of feeling; just as truth is a function of intellectual judgment, and not of emotion.

Fourth, we cannot responsibly choose between deeds on the basis of what we feel but do not understand. Hence, we cannot base moral decision making solely upon affective feelings any more than we can base our judgment of visual qualities on the integrity of our auditory faculties. Only by means of intellectual understanding and deliberate judgment do we have the power and the ability to be guided in moral choices and decisions by the truth about the good. Only by this means is the act-structure of moral decision making brought into the horizon of experience, in which our personal agency is understood and experienced as the efficient cause of ethical values deliberately realized.

5   A Phenomenological Deconstruction

Even from a dispassionate phenomenological analysis, the Pascalian bifurcation at the heart of Schelerian analysis can be seen as untenable as soon as we begin to understand the interrelatedness of the logical and non-logical aspects of experience and their corresponding intentionalities. Probably no single thinker has undertaken a more careful, detailed and nuanced study of the interrelationships of such aspects of our experience as the affective and the rational than the Dutch philosopher, Herman Dooyeweerd, upon whose work we rely in the following analysis.[16]

We have seen that in his phenomenology of the objective contents of consciousness, Scheler counters the absolutism of logic and logicism by means of his insightful theory of an objective order of value-phenomena that is completely independent of logic. We have also seen that in his phenomenology of subjective modes of consciousness, he counters the absolutism of reason with his theory of subjective faculties of value-awareness that are independent of reason.[17]

Yet Scheler's analysis suffers two defects. First, his grouping of all material values under the heading of objects of "non-logical feeling" does not adequately account for

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[16]See Herman Dooyeweerd's monumental, four-volume *New Critique of Theoretical Thought*, trans. David H. Freeman, et al. (Amsterdam, H.J. Paris, 1953–1958; rpt., Jordan Station, Ontario: Paideia Press, 1984); see esp., Vol. II: *The General Theory of Modal Spheres*, 55–413, and Vol. III: *The Structures of Individuality of Temporal Reality*, 54–156. One thing to clearly emerge from his study is the interpenetration of such operational aspects in the multiple dimensions of our experience. On the one hand, for example, one may distinguish multiple analogical moments of psychical feeling – moral feeling, religious feeling, aesthetic feeling, social feeling, a feeling for history, physical feeling, a feeling for logic, business "sense," a feeling for math, etc. On the other hand, one may no less readily distinguish multiple analogical moments of logical analysis – distinctions of morality, aesthetics, history, emotion, legality, mathematics, biology, etc. The point is that these moments interpenetrate: one may have intentional feelings of logical and mathematical values, just as one may make logical distinctions concerning values and feelings.

[17]See Note 7 above.

their manifold diversity, or for the relationship between the logical and non-logical regions of value-experience, or for the fact that logical relationships are themselves a species of "value-phenomena." Second, his unqualified grouping of these intentionalities together under the psychical configuration of "emotions" or "feelings," defined in opposition to rational understanding, itself verges towards a possible reductionism and does not adequately account for the variety of subjective modalities of value-experience, including the feeling for values he ordinarily seems to exclude from the *ordo amoris* – including the feelings for mathematical and logical values.

This leads to tell-tale antinomies within Scheler's own analysis.[18] On the one hand, Scheler says: "The heart possesses a strict analogue of logic in its own domain that it does not borrow from the logic of the understanding."[19] On the other hand, one may ask whether incongruent areas of overlap between jurisdictions of heart and reason cannot be located in his own thinking and whether much of the order he ascribes to the *ordo amoris* is not culled actually from the logic of the understanding.

One example is found in Scheler's well-known classification of values into four[20] major modalities, along with their corresponding emotional intentionalities.[21] The first thing to be noted here is that among the "spiritual" (to be distinguished from

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[18]Eugene Kelly suggested, in remarks following my presentation of the earlier draft of this paper mentioned in Note 1 above, that the antinomian tensions I find in Scheler here and following may be only apparent rather than substantive, since Scheler was concerned in this period with material value ethics rather than with logical or mathematical values. I would be happy to accept this friendly caveat except for the fact that Scheler's own way of postulating the Pascalian disjunction between 'mind' and 'heart' poses a nearly insurmountable obstacle by explicitly declaring reason 'blind' to values – which I take to mean values of any kind (including formal logical or mathematical values).

[19]Scheler, GW X 362/English: Max Scheler, *Selected Philosophical Essays*, trans. by D.R. Lachterman (Evanston, IL: Northwestern University Press, 1973), 117.

[20]Manfred S. Frings, *The Mind of Max Scheler* (Milwaukee: Marquette University Press, 1997), 28, discerns a fifth modality of "pragmatic" values, such as the "useful" and "useless," between Scheler's third and fourth rank, though admitting Scheler did not assign them a separate rank.

[21]Scheler offers two different classifications of feelings in *Formalismus*, Chapter 5 – the first in Section 2 (GW II 269–275/F 255–261), the second in Section 8 (GW II 344–356/F 332–344). The first distinguishes feeling-states, affects, reactive responses, intentional feeling-functions, acts of preference, and love and hate. The second distinguishes sensible, vital, psychic, and spiritual levels of emotion. According to Quentin Smith, these are based on different implicit criteria, the first on distance of object-relatedness, the second on depth of ego-relatedness (Quentin Smith, "Max Scheler and the Classification of Feelings," in: *Journal of Phenomenological Psychology* 9, Nos. 1 & 2 [Fall, 1978], 114–138, and "Scheler's Stratification of Emotional Life and Strawson's Person," in: *Philosophical Studies* 25 [1977], 103–127).

There are also terminological discrepancies between Scheler's ranking of values in Formalism, Chapter 2, B, Section 5 (GW II 125–130/F 104–109), and his listing of corresponding emotional strata in Chapter 5, Section 8 (GW II 345–356/F 333–343). In the former, he distinguishes religions, spiritual, vital, and sensible value modalities; in the latter, spiritual, psychic, vital and sensible emotional strata. I briefly touch on these discrepancies, as well as on his contradictory accounts of whether "spiritual" feelings can be feeling-states, elsewhere (Philip Blosser, *Scheler's Critique of Kant's Ethics* [Athens, OH: Ohio University Press, 1995], 122, n. 29).

religious[22]) values and feelings discussed by Scheler are aesthetic, juridical, and philosophic values. And from the context of his discussion, one learns that there are various "consecutive" values phenomenally related to them, by way of dependence. He says, for example, that "values of science" are consecutive values of the philosophic values of the "pure cognition of truth," that "cultural values" are consecutive values of the spiritual values of the value-sphere of goods (art treasures, scientific institutions, positive legislation, etc.), and that legal values are consecutive values of the juridical values of the order of right (*Rechtsordnung*).[23] This suggests that beyond his basic ranking of four major modalities of values, there are a whole range of variously interrelated values and corresponding feelings, including aesthetic, juridical, legal, philosophic, and scientific values, and possibly many others.

Scheler's discussion of this cluster of spiritual values raises what I think are some interesting questions about the scope of the *ordo amoris* in his theory. Particularly, his reference to "philosophic" and "scientific" values is provocative: one cannot help asking what, precisely, the relationship is between these values and the "logic of the understanding" or "logic of reason" to which the *ordo amoris* is supposed to have its own analogue. How, for example, is "the value of the cognition of truth" related to the value of the cognition of logical validity or cogency – if one may be permitted to speak in this way – or to the value of rational understanding? Is it permissible to speak of "logical values"? And if so, what becomes of the Pascalian analogy between the logic of the understanding and the logic of the heart? Are there any limits to the number of material regions to which the concept of "values" can be assigned? Excluding for the moment all "consecutive" values, is there any reason why we could not properly distinguish, in addition to Scheler's particular set of values (religious, aesthetic, juridical, vital, sensible, etc.), also such irreducible regions of values such as the economic, linguistic, social, historical, psychical, biotic, physical, spatial – and even – the numerical and the logical?[24] Is it permissible to speak of the "numerical values" of a mathematical equation? Or of the "logical values" of a propositional calculus?

Furthermore, if there is nothing ultimately against speaking of values in this way, then is there any reason why we may not properly differentiate also between corresponding affective intentionalities by which these values are felt and apprehended? There are, after all, numerous analogies to emotional feeling in other material regions besides the properly psychical.[25] If one can speak of a psychologist's

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[22]Scheler also calls these values "psychic" (see Note 22 above, on his terminological discrepancies).

[23]Scheler, GW II 128–129/F 107–108.

[24]Cf. the fifteen-tiered scale of modal values in: Herman Dooyeweerd, *New Critique of Theoretical Thought*, trans. by David H. Freeman et al., Amsterdam and Philadelphia, 1953–1956[1]; Jordan Station, Ontario, 1984[2], I, 3; cf., Vol. II, entitled *The General Theory of Modal Spheres*, *passim*.

[25]While Dooyeweerd insists on the irreducibility of the "nuclear meaning" of distinct modalities of experience, he points out the existence of modal interlacements in concrete experience, which he calls modal "analogies" or "anticipations" and "retrocipations" of meaning. For example, while feeling is typically qualified by its psychical "nuclear meaning," it has "analogies" in other modalities of experience, such as the aesthetic, religious, moral, etc. Accordingly, one can speak of "aesthetic feeling," "religious feeling," "moral feeling," etc. (Dooyeweerd, *New Critique*, II, op. cit., 74–78).

emotional sensitivity and empathy for other people's feelings, there are also numerous analogies to such feelings outside the region proper to psychology. For example, one may speak of a "sensitive conscience" in the moral sphere, of a keen "sense for business" in the economic sphere, of an "aesthetic sense" in the artistic sphere, of a "sense of fairness" in the juridical sphere, etc. Indeed, one may even speak of a "feeling for mathematics" or a "feeling for logic"! Yet none of these analogies of psychical feeling is exactly identical. Each has an irreducibly distinct and modally qualified character that cannot be subsumed without loss of meaning under the heading, merely, of what we ordinarily mean by "psychical" or "emotional" feeling.

But in this case, what becomes of the Pascalian analogy? Is the "logic of the heart" a singular, distinct type of "logic," or are there as many "logics" as there are material regions of values? Are there irreducible principles proper to each region and its respective discipline (such as aesthetics, economics, or linguistics), and could these be called, analogously, the "logics" of these respective regions? Are there correspondingly diverse, irreducible faculties of value-awareness, even if they all bear within them an analogy of "feeling"? If logic can be said to constitute a material region of objects of value-feeling, then what warrant remains for excluding the logic of understanding from the scope of the *ordo amoris*? The question is wrenching, yet necessary. Does there remain a basis for Scheler's Pascalian contention that this *ordo* has its "reasons" – its own distinct insights into matters to which reason remains as "blind" as a blind man is to color? I am no longer as sure as I once was. I think Scheler's insight about irreducible modes of experience is fundamentally sound. Yet I think he may not give sufficient attention to the interlacements of these different aspects of experience. As Stephen Strasser says, it is not a matter of knowledge being registered "in the manner of double-entry book-keeping: once under 'heart' and another time under 'head'…. Just the opposite: knowledge that is of full value normally occurs through bringing together rational and non-rational moments into a unified world-picture" (Strasser 113f.).

It may be particularly helpful to illustrate this point by reflecting momentarily on the "reason" to which the "heart" is supposed to serve as a Pascalian analogy. The basic acts of logical reasoning, which have logic as their proper domain, are analytical. They involve the making of analytical distinctions. But not all distinctions we make are essentially logical or logically analytical. Just as we can speak of analogies of psychical feelings in other material regions of experience (such as "aesthetic sense," "business sense," "a feeling for mathematics," etc.), so we can speak of analogies of analytical distinguishing. Thus, we make not only logical distinctions. We also make aesthetic, mathematical, social, historical, linguistic, juridical, moral, religious – and even psychological or emotional distinctions. Yet not one of these distinctions is essentially logical. For example, an aesthetic distinction as to what colors are "fitting" or "harmonious" involves an intricate interplay between aesthetic analogies of psychical feeling and aesthetic analogies of logical analysis. But it cannot be reduced to a purely logical distinction any more than "aesthetic feeling" can be reduced to a strictly emotional feeling. Rather, it is a type of distinguishing specific to the modality of aesthetic value-awareness.

This brings us to the following conclusions.

First, on the objective side, Scheler counters the absolutism of logic by means of a Pascalian apologetic for the existence of an objective order of value-phenomena that is completely independent of logic, but his grouping of all material values under the heading of objects of "non-logical feeling" does not adequately account for the relationship between the logical and non-logical regions of value-experience, or for the fact that logical relationships are themselves a species of value-phenomena. Scheler correctly discerns the existence of material values that are distinct from logical values, but what distinguishes the former is not merely their independence from logic as objects of "non-logical feeling," but their irreducible differences from one another as objects of awareness specific to their respective modalities of experience – e.g., aesthetic, social, religious, lingual, etc. – as well as emotional experience.

Scheler's chief insight, with respect to the objective side of the *ordo amoris*, is his discernment of irreducibly non-logical modalities of values. His chief oversight lies in his re-invocation of the traditional dualism between a realm of sensibility and thought, now characterized in terms of a distinction between "logic" as the object of rational understanding, and "values" as the objects of feeling. This prevents him from adequately accounting for the relationship between logical and non-logical values. Thus, the Finnish philosopher Tapio Puolimatka accepts Scheler's claim that axiological principles are not mere "applications" of logical principles to values, but rejects Scheler's thesis that axiological principles are wholly independent of logical ones, as too extreme.[26] These different material regions, although irreducible to one another, are not hermetically sealed compartments, but interrelated realms of experience. This oversight also prevents Scheler from an adequate accounting of the interrelationship, as well as the irreducible differences, between non-logical values. The threat of reductionism comes not only from the direction of logic (in the form of logicism), but from the direction of material regions assigned by Scheler to the *ordo amoris* as well, such as the emotional (or psychical), aesthetic, and vital – in the form of psychologism, aestheticism, vitalism, and the like. So it is just as important to prevent the absolutism of the psychical, aesthetic, or the vital, as it is to prevent the absolutism of logic.

Second, on the subjective side, Scheler effectively counters the absolutism of reason by his brilliant apologetic for subjective faculties of normative value-awareness that are independent of reasoning (various passive and active intentionalities, preferences, feelings, etc.), but his unqualified grouping of these faculties together under the psychical configuration of "emotions" or "feelings," defined in opposition to rational understanding, itself verges towards a kind of reductionism of "sensibility," and does not adequately account for the variety of subjective modalities of

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[26]Tapio Puolimatka, *Moral Realism and Justification* (Helsinki: Finnish Academy of Science and Letters, 1989), 163.

value-experience, including the feeling for values he ordinarily seems to exclude from the *ordo amoris* – such as the feelings for mathematical and logical values, etc. While our various faculties of value-awareness involve analogies of the psychical modality of experience in that they are all in some sense "perceptive," just as they involve analogies of the capacity to form analytical distinctions, it would be no more appropriate to reduce all value-awareness to psychical feeling than to reduce every capacity for making distinctions to the activity of rational analysis.

Scheler's chief insight, with respect to the subjective side of the ordo amoris, is his discernment of irreducibly non-rational modalities of value-experience. His chief oversight lies in the way his analysis of the *ordo amoris* reinvokes the classic dualism of thought and sensibility. As Ronald Perrin says, "at the very moment when [Scheler] seemed on the verge of healing the rift between phenomenal and noumenal man, he reinvoked the distinction between a realm of sensibility (now characterized in terms of Pascal's order of the heart) and a realm of thought, each unique and irreducible."[27] Not only does this prevent him from noticing the distinctive differences, as well as the analogies, between the non-rational modalities of value-awareness. It prevents him from noticing the intricate ways in which rational and various non-rational modalities of our value-awareness are interlaced with cross-modal analogies in our experience (such as the psychical analogy in "aesthetic sensitivity," or the logical analogy in "ethical distinctions"), without being reducible to each other.

In this vein Hans Reiner insists that the act of value-feeling "does not consist in a feeling that is isolated or separate from the whole of personality," but is an integral act of the self, in which "the sensuous and intellectual elements of the self stand in the closest possible relation to each other and form a unity."[28] Again, according to Herman Dooyeweerd, no modal aspect of our experience – whether moral, psychological, logical, etc. – is ever entirely wholly separate from or independent of any other in experience, even if analytically distinguishable in thought.[29] Even Peter Spader, as we have seen, allows that reason plays *some* role in moral decisions, even if an inadequate one in our view, about which non-moral values to realize.[30] It is important, then, to carefully differentiate the irreducibly distinct, though analogically related, modes of value-awareness that are correlative to logical and various non-logical regions of values in moral experience.

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[27]Ronald F. Perrin, "A Commentary on Max Scheler's Critique of the Kantian Ethic," in: *Journal of the History of Philosophy* 12 (Aug. 1974), 359.

[28]Hans Reiner, *Duty and Inclination: The Fundamentals of Morality Discussed and Redefined with Special Regard to Kant and Schiller*, *Phaenomenologica*, 93, trans. by Mark Santos (The Hague: Martinus Nijhoff, 1983), 135.

[29]Dooyeweerd, *New Critique*, II, op. cit., 74–78.

[30]Peter H. Spader, "The Primacy of the Heart: Scheler's Challenge to Phenomenology," in: *Philosophy Today* (Fall 1985), 228.

6 Conclusion

Scheler's *apologia* for an objective order of value-phenomena independent of logic, and for subjective intentionalities of value-awareness independent of reason, is positively brilliant. In order to effectively serve the cause of moral decision making, however, these objective values and subjective intentionalities must be re-connected and re-engaged with the orders of logic and reason. Only in this way can an adequate account be given of how moral decision making is grounded in an understanding of the truth about the good. Only in this way can a Schelerian ethic be grounded in the heart without losing its head.

Part IV
Phenomenology beyond Philosophy

A Phenomenological Reflection Conducted Through Narrative: An Essay in Honor of Lester Embree

Richard M. Zaner

Lester Embree, my good friend and longtime co-worker in the trenches of phenomenological inquiry, has long held the conviction that phenomenology, understood as the rigorous discipline Husserl and others held it ought to be, quite naturally has substantial, multiple relationships with other disciplines, sciences, and human enterprises. In pursuit of that, a great many of his labors have been devoted to demonstrating those concrete relationships, while, at the same time, exploring the terrain on his own. In particular, inspired by Aron Gurwitsch and Alfred Schutz, he has energetically addressed many of the questions at the heart of the human sciences.

He, of course, knew all along about my adventures outside the usual boundaries of philosophy, even phenomenologically understood. As I became immersed in the world of clinical and research medicine, Lester was one of the very few who heartily approved and encouraged my efforts in supportive and helpful ways. Thus, one thing is obvious enough: I agree wholeheartedly with the idea that phenomenological reflection can and must be practiced in most any field of human endeavor, and that the results of such efforts can be immensely rewarding both personally and for the realm of phenomenology generally. In any event, after a brief clarification of my involvement with medicine, I will turn to some of what I have learned from those years of doing what Lester always strongly endorsed.

I first became seriously interested in medicine – for itself and as a 'place' within which to pursue my central concern for developing a phenomenological approach to (individual and social) human life – while I was at Trinity University in San Antonio, when I was asked to become a member its pre-med committee. In addition, committee members were asked to visit various medical schools to which our students typically applied. Among these was Tulane University's School of Medicine; on one memorable visit there, I was treated to a scene which, a good deal later, functioned in a key way in my efforts to make sense of medicine and how and

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why physicians are trained to seek out just certain types of affairs while safely (so it was often thought in those days) ignoring others. After the usual sort of greetings and discussions among academics, I was taken to a large room which I entered without knowing what I was in for. It was the gross anatomy class that each first- or sometimes second-year medical student was required to take.

I was really not only flummoxed, but rendered almost speechless by the scene: corpses all over the place on steel carts, each of which was surrounded by three or four students avidly gazing, cutting, pointing to this or that part of the cadaver and quietly chatting. Except for one group close to where I had come to a standstill: with a soft drink bottle perched precariously on its lower abdomen, the cadaver was the topic of considerable laughter, doubtless, or so I thought, at my expense as, dumbfounded, I looked at it and the students.

Some time later, this scene came back to give a personal twist to a comment Paul Ramsey made:

> In the … anatomy course, medical students clothe with "gallows humor" their encounter with the cadaver which once was a human being alive … [which] we still encounter as once a communicating being, not quite as an object of research or instruction. Face and hands, yes; but why the genitalia? Those reactions must seem incongruous to a resolutely biologizing age. For a beginning …, one might take up the expression "carnal knowledge" … and behind that go to the expression "*carnal conversation*," an old legal term for adultery, and back of both to the Biblical word "know."… Here … can be discerned a sensed relic of the human being bodily experiencing and communicating, and the body itself uniquely speaking.[1]

Having published my first book only a few years before,[2] I was understandably struck by the remark, more especially as I was in the midst of re-studying Descartes' reflections on the body,[3] and learning that his supposed "dualism" was more caricature than an accurate depiction of his thinking.[4] Although Ramsey's subsequent discussion made it clear that he ended up only reasserting the dualism he wanted to surmount, his words harbor real insight: the cadaver is indeed an "object of research and instruction" in contemporary medicine, while that "once-aliveness" of the cadaver, on the other hand, is seriously suppressed – only, ironically, to reappear as "gallows humor." To be sure, it is perfectly obvious that medical students and practicing physicians should and do learn from anatomical dissections, just as investigators make use of their results. Still, the move within medicine, already present within ancient medicine, but now reasserted with an unmatched rigor – to explain the live human body by means of the dead human cadaver – should surely give serious pause.

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[1]Paul Ramsey, "The Indignity of 'Death with Dignity,'" *Hastings Center Report* 2, p. 59.

[2]Richard M. Zaner, *The Problem of Embodiment*, The Hague: Martinus Nijhoff, 1964 (2nd edition, 1971).

[3]"The Other Descartes and Medicine," in S. Skousgaard (ed.), *Phenomenology and the Understanding of Human Destiny*. Washington, DC: University Press of America/Center for Advanced Research in Phenomenology, Inc., 1981, pp. 93–117; also Chapter 6, "The Anatomist's Conceit, the Body's Cunning," of my book, *Ethics and the Clinical Encounter*. Englewood Cliffs, NJ: Prentice-Hall, 1988. Republished by Academic Renewal Press, 2002.

[4]Ibid., pp. 106–26.

While I have devoted much reflection to that powerful issue,[5] but it was only years later, in 1971, that the opportunity was presented for me to engage with medicine in a genuine way.[6] It soon became very clear to me, however, that unless I, and others like me, could become seriously part of clinical (and research) work, most of what we said and wrote would be unavoidably remote, too distant from the actual life of real people in real situations to be able to say much that could be pertinent to them – which is the way I came to understand Husserl's enjoinder at the beginning of his first *Cartesian Meditations*: to "immerse" oneself within the discipline.[7]

The chance actually to do this came when I joined the faculty at Vanderbilt University Medical Center, in 1981. To my considerable delight, I was seriously encouraged to become involved in any clinical way I saw appropriate. Soon, I found myself being asked by various clinicians for help in understanding and managing any number of issues as they were actually occurring. After several months, I was asked by the Chief of the Medical Board to set up a clinical service,[8] which gradually came to have its own rigorous protocol, and I found ways in which to include senior students and young colleagues in the work of clinical ethics. In the end, at my retirement in 2002, it turned out that I had been involved in more than 2,000 individual consults – most with patients and their loved ones; some with nursing staff; some with physicians; some even with administrators and other health professionals; the issues of the moment as different and compelling as the differences among professionals and individuals. A few of these consultations are recorded in

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[5] See, e.g., "Finessing Nature," in Verna Gehring (ed.), *Genetic Prospects: Essays on Biotechnology, Ethics and Public Policy*, Intro. William A. Galston, New York: Rowman, Littlefield Pub., Inc., 2003, 63–74; "Visions and Re-visions: Life and the Accident of Birth", The University of Scranton conference, 'Genetic Engineering and the Future of Human Nature,' April 6–8, 2001, in Harold W. Baillie and Timothy K. Casey (eds.), *Is Human Nature Obsolete? Genetics, Bioengineering, and the Future of the Human Condition*, Boston, MA: MIT Press, 2005, pp. 177–207; and "Envisioning Power, Revisioning Life: Prominent Issues for a Phenomenology of Medicine," in Steven Crowell, Lester Embree and Samuel J. Julian (eds.), *The Reach of Reflection: Issues for* Phenomenology's *Second Century*, Electron Press, Vol. 3, online publication available at: http://ww.phenomenologycenter.org, 2001.

[6] When I joined the faculty at School of Medicine at the then newly established State University of New York at Stony Brook, where I started and directed one of the first programs of Humanities in Medicine.

[7] As he said of his efforts to grasp the inner core of "science," so I knew I had to make the same effort to understand clinical and research medicine. See Edmund Husserl, *Cartesian Meditations*, The Hague: Martinus Nijhoff, 1960, p. 1.

[8] I was not a little stunned, for, as I quickly learned, this was the first time that a philosopher faced the odd task of setting up a clinical service, with hospital appointment included. There were neither models nor rules to govern such a thing. So, bull by the horns and such, after many discussions and meetings, the Director of the hospital simply wrote a memo one day and declared that I was an "ethicist" for the hospital and clinics – a term as sibilant to pronounce as it turned out to be awkward to practice.

several places, among them, two books of narratives: *Troubled Voices*[9] and *Conversations on the Edge*.[10] That I turned to narrative calls for at least brief explanation.

In my efforts to figure out the ins and outs of these clinical encounters, one day I simply found myself writing in a narrative voice; I had no advance plan, nor ulterior designs. I had often written in this way for myself, to make sure I had things right so I could reconstruct one or another encounter as a way to try and to make sense of my clinical involvement, which I had been doing for more than a decade. Writing in this mode turned out to be far more complex than it seemed at first sight. Among other things, being a philosopher (arguably the most abstract and least practical discipline) practicing my profession within medicine (arguably the least abstract and most practical enterprise), and then trying to write the 'story' of this or that encounter. That posed serious, and altogether odd sorts of questions – which I've variously addressed, with, I hope, some success, in several books and many chapters and articles over the years.[11]

To say it as succinctly as I can, I came to appreciate that the narrative voice is, as I now believe, the most appropriate, most direct way in which to understand and, thereby, to relate to the Other: for instance, what it's like to be sick or injured and hospitalized in the care of mostly strangers. Being involved with these patients, I became convinced that the weight of phenomenological evidence points to narrative as the most immediate kind of disclosure of individuals as they interact in highly specific circumstances. For in these encounters, the whole point is that unique individuals are caught up with one another – whether as patients, families, or providers – and 'to say' what that means, what each experiences, and the like, can only mean 'to tell the story,' their story and mine.

In a sense, Scheler was right[12] when he emphasized how one knows the other's joy in his smile, her sadness through her tears, her anxiety from her worried brow, his feeling poorly in his wrinkled forehead and downcast eyes, and so on. But, Scheler seems to me to have missed a critical feature of the experience of the Other.

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[9]Richard M. Zaner, *Troubled Voices*, Cleveland, OH: Pilgrim Press, 1993.

[10]Richard M. Zaner, *Conversations on the Edge*, Washington, DC: Georgetown University Press, 2004.

[11]See, for example, "The Phenomenon of Trust in the Patient–Physician Relationship," in E. D. Pellegrino (ed.), *Ethics, Trust, and the Professions: Philosophical and Cultural Aspects.* Washington, DC: Georgetown University Press, 1991, pp. 45–67; "Illness and the Other," in G. P. McKenny and J. R. Sande (eds.), *Theological Analyses of the Clinical Encounter*, Theology and Medicine Series. Boston: Kluwer Academic Publishers, 1994, pp. 185–201; "Benefit and Mischief: Toward a Phenomenology of Medicine," in Florinda Martins and Adelino Cardoso (eds.), *A Felicidade na Fenomenologia da Vida: Colóquio Internacional Michel Henry*, Lisboa: Centro de Filosofia da Universidade de Lisboa, 2006, pp. 71–84; and "Thinking About Medicine," in A. Kay Toombs (ed.), *Handbook of Phenomenology and Medicine,* Dordrecht/Boston/London: Kluwer Academic Publishers, 2001, pp. 127–44.

[12]See Max Scheler, Pl Heath (trans.), W. Stark (intro.), *The Nature of Sympathy*, New Haven: Yale University Press, 1957, esp. pp. 239–40, 260–64. See also Richard M. Zaner, *The Context of Self*, Athens, OH: Ohio University Press, 1981, esp. Chapters 9 and 10.

For while he appreciates the immediacy of, say, the joy within the smile (and, obviously, other physiognomic features and gestures), that joy is never so evident as within the words the Other uses to tell me all about what happened. That is, every such feature and gesture has its strict contextual place solely within the fuller context that is displayed within the stories the Other tells. In this sense, I do not merely 'see' the Other, but in the most concrete ways 'hear' her joy through her words, her story. Evidence of the Other's presence to me, in Husserl's sense, in other words, arrives within our shared telling and listening to our various stories. The language of this experience is narrative.

The "catch" to this "surrender," as Kurt Wolff might have said,[13] however, is that whatever story is being told, the fuller its expression the more likely it is that its sense can be apprehended. At the same time, the more fully we relate our stories – which means, our lives as we have come to live and understand them – the more fully is the Other disclosed. Stories are fundamental; in this, Scheler was quite correct when he observed that "it is the inflections of the human voice and not just the simple auditory stimuli thereof, which first arouse attention and interest."[14] Moreover, as he goes on to emphasize in his critical rejection of traditional sense data theory,

> Learning is not a subsequent addition of mental elements to an already-given inanimate world of material objects, but a continuous process of disenchantment, in that only a proportion of sensory appearances retain their function as vehicles of expression, while others do not. Learning, in this sense, is not *animation*, but a continual "*de-animation*".[15]

I would now say that learning is the gradual process of realizing that not everything speaks, wants its needs satisfied, demands compliance, seeks answers, and the like – in short, not everything tells stories. While at the outset of life all things, Scheler acutely observed, is alive (as it is as well for the primitive), and it is only through concrete interactions with the surrounding milieu that some 'things' become distinguished as 'persons' whose actions include and take place within contexts of narration, language.[16]

In this way, I believe, the unique individual, the central concern for every physician, can alone be given a proper voice – as, I often think, Kierkegaard discovered and, eventually, was led to his idea of 'indirect discourse.'[17] As Edmund Pellegrino, the one who first invited me into this remarkable enterprise, often insistently expressed it: medicine is the most humane of the sciences, the most scientific of the

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[13]See Kurt Wolff, *Surrender and Catch: Experience and Inquiry Today*, Boston & Dordrecht: D. Reidel Publishing Co., 1976; also my review-essay, "The Disciplining of Reason's Cunning: Kurt Wolff's *Surrender and Catch*," *Human Studies* 4: 4 (1981), pp. 365–89.

[14]Scheler, *The Nature of Sympathy*, op. cit., p. 239.

[15]Ibid., pp. 239–40.

[16]Just this I attempted to delineate, not altogether accurately or completely, in my *Context of Self*, op. cit., esp. pp. 204–10.

[17]Soren Kierkegaard, in Howard V. Hong and Edna H. Hong (ed. and trans.), *Concluding Unscientific Postscript to Philosophical Fragments*, Princeton: Princeton University Press, 1992.

humanities.[18] And, in my view, the language of that joining is story, practiced with all the honesty and rigor that sick and distressed people can uniquely provoke in one who seeks to understand and, at some point, also tell their circumstances.

And now, I want to let one narrative tell this tale. In what follows, as always in my writings, the names and circumstances of every individual has been masked to protect their privacy and integrity.

1 The Indomitable Rachel Bittman

> (Note: because of the controversial aspects of some themes in this story, I decided to include a few footnotes to give some substance to what is at times alleged by one of its characters, Mr. Cyrus Bittman. These will be found at the end of the story.)

"It's so depressing, Dr. Zaner," Cyrus Bittman said to me almost the moment I walked in to talk with him. He was in his wife's hospital room and I had been asked to consult by their current attending physician, Dr. Alan Swift. Although his wife, Rachel, was, it seemed, thoroughly out of it – at the very least asleep – I thought it would be best for the two of us to move to another room down the hall, a small conference room set aside for just such conversations. Mr. Bittman agreed, and we moved slowly out of her room.

The hall was uncharacteristically quiet as we walked out and down, by the nurse's station. No nurses were there at the moment. I glanced out the nearby window, saw a young boy in the window across the way, in another hall, looking at us, or so it seemed. His shirt, bright and striped, seemed part of the window, which had variously colored decals stuck on. Not paying much attention to him in the fleeting moment, he yet seemed intent on staring at us. Then, a young girl came up by his side, pointed her finger at us and both waved, perhaps at us, perhaps not, but we had already passed by the window and I lost sight of them.

A nurse came by on her way to the station, nodded at me, and I returned the greeting, recalling how she had been on call that awful night some weeks before when the two of us had witnessed a young teenager die, victim of a rollover car accident. Frances and I, along with several others also involved in that difficult situation, had sat over coffee some time after, talking a bit, but mainly just being together around the table, glancing now and then at one or the other, talking about how tough it had been for the attending physician in that case; she had never had to face a situation that clearly called out for removing the life supports from that young patient.

The hallway seemed dreary even though painters had tried, or so it appeared, to make it cheerful with light yellow paint and decorators had conspired by placing a

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[18]See Edmund D. Pellegrino, "The Most Humane of the Sciences, the Most Scientific of the Humanities," in his book, *Humanism and the Physician*, Knoxville, TN: University of Tennessee Press, 1979.

number of prints on the wall, each bright and clingy with tropical flora, even parrots in one of them, beaches, sand, a boat far off in the distance. Despite their earnest efforts, it only made me melancholic, thinking of things gone, people no longer there or too far away to make contact. I thought of that boy and girl in the other wing, seemingly staring out the window at Mr. Bittman and me, unblinking. That, too, brought on a sense of remoteness and, with that, nostalgia, a sort of indefinite longing. It was all – the hospital, sickness, patient's lying in beds wishing for anything other than that, getting out, getting well – getting to me, I thought, and then thought how much I needed a vacation, some time off, anything.

We came to the conference room. I knocked, making sure no one else was using it. It was empty. We stepped in, sat down in two easy chairs, table in between; a lamp on it was turned on giving off a soft glow. More prints on the walls, these done mainly in a muted reds, some dark yellows and dull oranges and browns. Someone's idea of a country place in autumn, I suppose. I never liked any of them. They seemed just lackluster, without life, like this hospital. It was getting to me and I silently resolved once again to get away.

Mr. Bittman began where he had left off in his wife's room.

"I am really afraid my Rachel is going to die soon," he sobbed, glancing up at one of the prints, but clearly not paying it much attention. "Nothing they've tried has helped. She's had all the usual things they do for people like her who have Parkinson's, and we even tried to get into a experiment using stem cells to try and replace those she's been losing, maybe for years, nobody really knows. But I have to tell you, Dr. Zaner, she is dying, my sweet Rachel, and it's because of politics, we've been caught right in the middle of all the arguments and such. Least, that's the way it seems more and more."

"I'm not sure just what you mean, Mr. Bittman."

He acted as though he didn't hear me, seemed caught up in things out of reach, my reach anyway – something I'd have to get used to, it was already clear.

"That damned pharmacy …"

" 'Pharmacy?' Where? Here at the hospital?"

"No, not that, but you get down to it, just doesn't matter." He paused, glancing at the opposite wall, then back down to the floor.

"Well, go on," I said, sensing I had to let him have his say as best he could. I too looked around for a moment at the prints. They made me uncomfortable, these scenes, so typified they were jarring in this room, faced with this man mourning for his wife. Their effort at warmth merely seemed mocking.

"I took some notes, don't you know, from that fellow who ran the meeting …"

"Which meeting is this?" I asked.

"The one where what he called a 'clinical trial' was discussed, and some sort of legal action is going to take place."

"A clinical trial? Legal action? What are you talking about?"

"Best I can figure, there was this drug trial going on, run by some company or other, can't remember which, but it was seeing whether people like my sweet Rachel could be helped, you know, those who were already as they say far advanced; maybe, as I got his point, such folk should maybe begin to recover some of what

they've lost to Parkinson's. Maybe only stop it in its tracks, 'arrest' I think the man said; but I understand they've had some success." His voice trailed off, eyes closed.

He went on to explain, best as he could, though I would have to look into it later on, I knew. As I got his story, the experimental procedure he mentioned was one I'd read about in a journal, one designed to test a glial cell line – derived neurotrophic factor (known as GDNF in the inimitable initial-speak of biomedical scientists). Seems this was regarded by at least one group of researchers as what is often called a "promising" treatment for patients – in this case, those with advanced Parkinson's – and some company, holding the patent on that cell line, was running a clinical trial, but then had abruptly stopped it.[19]

This was important enough that it had been reported on a segment of the television news magazine, CBS' "Sixty Minutes," that ran, I recalled, on a recent Sunday evening. The rationale for that segment of the show had to do less with patients or the drug than with the subsequent conflict: the drug seemed to be working for many of the experimental participants, but the trial was stopped in its tracks because, apparently, some serious risks had cropped up, suggesting that its continued use was "ineffective and unsafe." In one part of the segment, a company spokesperson alleged that "new evidence" from an autopsy of an earlier trial participant "proved" that GDNF can regenerate the dopamine-producing cells needed by Parkinson's patients, and can actually reverse the progress of the disease.

Why, then, stop the trial? The participants not only wondered about that, but went on to court in a new kind of case, to force the company to let them continue with the drug. "After all," one is reported to have said, "what is my only option? Death by agonizingly slow degrees – more risk than anything that company may be afraid of."[20]

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[19]Numerous reports on the clinical trial, run by Amgen, are available. A few are: "GDNF – University of Kentucky Study Shows Effectiveness Of Experimental Parkinson's Drug, Karla Ward, *Lexington Herald-Leader/Macon Telegraph*, GA, June 4, 2004; "Study Adds to Dispute Over Drug by Amgen," Denise Gellene. *Los Angeles Times*, July 2, 2005 Business Desk; Part C; Pg. 1; "Drug reverses Parkinson's brain damage," Ian Sample, *The Guardian* (London), July 2, 2005, Guardian Home Pages, Pg. 10; "Researchers: Parkinson's drug was effective," Associated Press, July 2, 2005; "Renewed hope for Parkinson's patients*," Innovations Report*, University of Bristol. (UK), July 1, 2005. The initial scientific study was: "Direct brain infusion of glial cell line derived neurotrophic factor in Parkinson disease," Steven S. Gill, Nikunj K. Patel, Gary R. Hotton, Karen O'Sullivan, Renée McCarter, Martin-Bunnage, David J. Brooks, Clive N. Svendsen & Peter Heywood, *Nature Medicine* 9 (2003), 589–595.

[20]The court case was subsequently denied by one judge, and is reported in, for instance, "More Sue for Access to Amgen Drug; Patients in the latest suit say they were promised the experimental Parkinson's medicine beyond the trial period," by Denise Gellene. *Los Angeles Times*, June 23, 2005, Part C; Pg. 2; "Judge rejects appeal for Amgen drug by clinical trial patients," Erin McClam. The Associated Press State & Local Wire, June 9, 2005, *Business News.*

Mr. Bittman had become very embittered. He had been trying to get his wife, apparently now in the final stages of Parkinson's, accepted in that or any other clinical trial and now could not, not even for "compassionate" use[21] – which was also currently being denied to all patients. Apparently, though, this trial with GDNF "may be" the very first time that any drug seemed capable of partially reversing or halting the inexorable course of the disease – among the most terrible and incurable of the known neurological disorders. Moreover, those patients who had received the experimental treatment and had, according to the reports I read, begun to recover the ability to walk, work in the garden, drive, eat, read, and a few had even returned to work; and, when the trial was closed, these same patients had been forced to revert to their wheelchairs and walkers, some even had again become bedridden. All of those profiled in the "Sixty Minutes" segment, were called "courageous volunteers." But then came the halt, and the refusal to allow any of them access to the drug.

There are more than one million people with Parkinson's in the United States slowly succumbing to this debilitating disease. Over the next 5–10 years it is projected that we will not only witness thousands of Americans sink into complete immobility and, eventually, death, but we'll see even more join the ranks of those suffering from Parkinson's disease. And none of them with hope. As such patients and their families know well, people with Parkinson's disease do not have the luxury of time. Thus, those who had been participating in the clinical trial of GDNF were deeply angered; and Mr. Bittman, as I said, had grown even more bitter than when I last saw him some months prior to our present discussion.

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He, too, had seen that television program and had apparently devoured other news of the trial and thus knew the terrible story those patients freely told. Delaying access to a promising new treatment like this, much less denying it entirely, would, these patients fervently believed, likely mean the difference between life and death for them – thus, too, Mr. Bittman quickly concluded, for his sweet Rachel.

When we started to talk, he was obviously, and not unjustly, very angry after he talked about the times when he had tried to get his "sweet Rachel" into one or another such trial. He was even thinking of trying to join some lawsuit if he only knew how, especially the one about which he had read and whose hope was to force the company to restart human clinical trials on GDNF.

"They got to do what's right," he said to me, his eyes glinting from the light coming from the lamp, in stark contrast to its soft glow. "Even if it means suing the bastards. Excuse my French, but, I mean, like that one man said on TV, that show, what's she got ahead if she can't get what could help?" He stopped, beginning to sob.

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[21]Sometimes permitted, but only in carefully selected patients and under special conditions.

"I mean, what can I do when what could help her is denied, if we can't get hold of any of that medicine? Every day, I mean every day, you can if you know her, you can tell she?"

<center>♦♦♦♦</center>

Cyrus Bittman's wife had been hospitalized a number of times over the past 3 or so years, and was currently hospitalized once again. Discussing her with her attending, Dr. Swift, I learned that she was now pretty definitely in what he now thought was end-stage Parkinson's; the notes he and several consultants had recently written in her chart, the case for any hope of any recovery seemed clearly closed. At the time of my latest conversation with him, she was in her mid-60s, he about the same, maybe a bit older. I had met them before, as I indicated, during one of her many earlier hospitalizations.

That first time, though, our meeting and briefly talk was mainly by accident. I had just left a consult in an adjoining room and as I walked by on my way back to my office, I ran smack into him as he was coming out. Or he ran into me. Either way, we had little choice but to stop and take stock of each other. I apologized, he apologized; I introduced myself, he introduced himself, and then quickly asked what I did there.

"Don't mean to be nosy, sir, but I can't recall seeing you here before," he said.

"Well, that's two of us," I replied, smiling. "I can't recall seeing you before, either."

"Really? Well, that's a surprise, seeing as to how we've, my wife and me – that's her in there," he indicated the room where he'd just been. "Well, we've been here quite a few times," he said, returning my smile.

"Really?" I replied. "Why is that? Look, Mr. Bittman," I asked, "I'm on my way to the cafeteria for a cup of coffee. Would you like to join me? I'm treating! Then, we can get to know each other a bit better. How's that sound?"

It sounded just fine to him. So we went off. I then learned of his wife's Parkinson's – which for me was just about the most awful sort of news you can get. Like a lot of others, I held the view that whatever else each of us may be, we are just about nothing without a mind. He seemed to share that view. In any case, it is because of that attitude of mine that I had come to abhor the neurologically debilitating diseases, especially those like Parkinson's or Lou Gehrig's that did their nasty work like the proverbial thief in the night, gradually stripping a person of his or her very self even while that person was pretty much aware of what was going on.

I expressed my sympathies with Mr. Bittman. He, though, was more anxious to find out what in the world a person like me was doing in a hospital.

"I mean, or don't mean to be sticking my nose where it's got no place, but don't you belong in a school somewhere?"

It took a bit for me to explain what I was doing – what I was gradually learning to do – in this position. He seem interested enough for me to pursue the matter a bit; it's not often I get that chance, and as he was a really good listener, I took off. Then caught myself.

"I'm sorry, Mr. Bittman, I do get going, well too much, I fear."

"No worry," he replied. "It's good to talk about other things than that damned disease, believe me. Does get old, that stuff. But, fortunately, Rachel, that's my wife, she's doing pretty well at this point. We're just in for some of the regular tests they give folks like her. We'll be going home this afternoon, in fact," he concluded.

We said our goodbyes, sharing a word about how we both liked our coffee strong, which he took black while I had to fix mine up to make it tolerable. He jibbed me as he left about how I still had much to learn about coffee and such. I wasn't sure what he meant by "and such," but let it pass.

I was to meet him again not long after literally bumping into him in the hall outside the room where his wife was, it turned out (as I later learned), being told that there simply was nothing else they could do. Because of that bit of bad news, Mr. Bittman had, as a nurse reported, 'acted up,' and become very angry. They had gone home but not long after, he brought her back in, as she had, he said, 'begun to freeze up' and was having real difficulty communicating. At that time, I was asked to discuss matters with him and his wife, so far as possible. Not much had gone on then, though, and both our discussion and their stay in the hospital were brief.

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Now, back in the hospital, he was obviously very wound up about that trial, and about research in general. I also knew something about the "politics," as he called it, since I was myself getting more and more involved in trying to identify the range of ethical issues so much an inevitable part of such research projects – many of which ran loggerheads with groups trying to ban them, genetic, stem cell and embryo research especially.

The Bittman's lived some distance away, and, I knew, often went for treatment at their local medical center hospital. Now, as she was getting much worse, and after being unable to get her into an experimental protocol, they had again come to ours, as she seemed at the end of that long and taxing course – and, he told me, their surviving children lived close by and they wanted to be near their parents, especially at this time.

"Mr. Bittman," I interrupted his rush of words. It was obvious he had been in the midst of things for some time, and had grown more and more irate. "Mr. Bittman, please. Calm down a bit, okay? I'm not sure I know where you're going or why you wanted to talk with me."

"Well, I do, and you've just got to hear me out," he replied. "Isn't that what you do? So listen. She's been through all the standard things they can do for her and none of them have helped much. She's still fading, in fact there are times when she has almost completely faded away. And she could have been helped," he pleaded, "but there's just no place to turn now. She's going to die now, and I can't stop any of it."

"I know it has been very tough for you, and obviously for your wife," I offered. "I know, because, you remember, I saw both you of several months ago. I assume that's why you asked to see me now?"

"Yes, that's so. I recall our talks, and I never got the chance to thank you for that," he said.

"That's not why I mentioned it," I quickly replied. "It's only that I think I do understand the very tough place you're in, have been in for a long time. I know you

wanted to get Mrs. Bittman into that one clinical trial, but I gather that proved impossible, like you just said, but you recall that one up in Dallas I mentioned to you? Obviously, you never got into that, either, right? They seemed to be having some success, like some others of these clinical trials."[22]

"Oh, yes, you bet I remember," he replied, a note of sadness creeping into his voice, "and I thank you for telling me about it," he said, and he paused, remembering. "We tried to get into it, but the thing with that one was that Rachel was just what they called too far advanced by the time we could get in to talk with those folks. And, we've met some folks who have looked into a lot of those as they call 'em trials, but nothing's really helped them or us, not for very long."

He paused, his words burdened with painful memories, his hands kneading the chair arm, his head downcast, eyes closed. I waited, knowing there would be more; I had learned this about him during our first meeting. Driven and determined, I had thought to myself back then, and remembered now.

Then he continued: "That one upstate, well, I don't know if it would have helped her or not. I talked about this whole thing one time at our church, but they were, most of them, too against such research. None of them, truth be told, seemed to think for a single moment about people like Rachel who actually need help, who have to live with those awful diseases."

He stopped to take a sip of the coffee I'd brought in with me, remembering his fondness for very dark, very strong, black coffee. Just like my grandfather, I recalled: 'Dick,' he'd say when I was hardly more than six or so, 'you got to have it strong enough so's the spoon'll stand up on its own, don't you know.' And when I shared that memory with Mr. Bittman during that first meeting, he'd remarked, 'of course, you've a wise grandfather, knows his coffee!'

I, too, turned to my own cup. He was silent for a bit as he sipped the coffee, said how much he liked the coffee I brought, then, newly energized, started up again.

"I mean, she's had the drugs, the only ones that have worked any at all, like that one, you know, Levo something."

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[22]Other important research is going on in other countries as well. See especially, the report by Roberta Neiger, "Israeli therapy uses adult stem cells to treat Parkinson's Disease," March 27, 2005, ISRAEL21C; see the website: http://www.israel21c.org. This experiment is directly with stem cells, is funded by Brainstorm Cell Therapeutics, and is being conducted by Prof. Eldad Melamed, Head of Neurology of the Rabin Medical Center and member of the Michael J. Fox Foundation for Parkinson's Research, together with Tel Aviv University cell biologists, Dr. Daniel Offen and Dr. Yosef Levy. The company's proprietary technology – NurOwn – has been proven capable of generating neuron-like cells derived from human bone marrow. The cells produce dopamine which can them be implanted into the PD patients. It is to be tested on monkeys in 2006, with human clinical trials scheduled for the following year. "Using the patient's own bone marrow to supply dopamine-producing cells circumvents problems of immunity and compatibility, so it is safer than using cells from an outside source," says one of the experimenters, Dr. Yaffa Beck, and she continued, "In this field, the right people have come together at the right time – and more than that, we're Jewish," she adds, referring to the Jewish tradition in which embryos are not considered to be human beings until they are born. This is in sharp contrast to one Christian view, which commonly holds that personhood starts at the moment of conception.

"You mean 'Levodopa.'"[23]

"That's right. She's even had the surgery, that pallidotomy,[24] which I recall because it scared the devil out of me when I first heard of it. It all came about because the drugs weren't working so good any more. I mean, they put a long thing right down into the part of her brain, real deep, and then did something or other to burn out a tiny bit. I mean a bit of her brain!"

"I know, it's not easy even to talk about it."

He seemed not to hear me, just went on: "That thing did help, I guess, at least for a while, then all the shaking and stiffness came back real bad. Real bad," he stopped for a moment, then went on. "Like that damnable disease had gotten angry at anything we'd do to try and control it. Now, back to this place, but too late now for any experiment, no matter which it might be.".

He grew quiet again, and thoughtful. I kept quiet, too. "You know," he said, "I read in the paper not long ago, must have been Sunday before last, about a really weird one going on over in Europe somewhere, I think it was. The piece was brought over by one of our good friends, a neighbor whose been a lot of help. It sure sounded odd, I recall."

"I don't think I've heard of that, Mr. Bittman. What is it?"

"Well, I'd read this piece one day last May this year. It said that there was an article done in some European science journal, neurology or something like that. From what I could gather from that piece, it said that if you took cells from the inside of a person's tooth, they might be effective in treating Parkinson's."

"Really?" I wondered. "Tooth pulp?"

"Oh, yes. It's surely amazing what can be done nowadays," he said. 'If people were just not so fearful of things they don't understand," and with that he grew quiet again.

"You may be right," I said. "Fear's an awfully powerful thing."

"Oh, yes, I know I am. I've talked with some folks who don't like what I say sometimes – folks right there in my church. 'Right to life,' hah! All they care about

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[23]Levodopa ((3,4-dihydr**o**xy-L-phenylalanine) is an amino acid precursor of dopamine with anti-parkinsonian properties. It is converted to dopamine by DOPA decarboxylase and can cross the blood-brain barrier. When in the brain, levodopa is decarboxylated to dopamine and stimulates the dopaminergic receptors, thereby compensating for the depleted supply of endogenous dopamine seen in Parkinson's disease. To assure that adequate concentrations of levodopa reach the central nervous system, it is administered with carbidopa, a decarboxylase inhibitor that does not cross the blood–brain barrier, thereby diminishing the decarboxylation and inactivation of levodopa in peripheral tissues and increasing the delivery of dopamine to the CNS. is known to be involved in the biosynthesis of dopamine, which functions as a neurotransmitter to increase its levels in the brain, thus counteracting the typical loss of dopamine in patients with Parkinson's. See National Cancer Institutes of the National Institutes of Health (NIH), online at http://www.cancer.gov/Templates/drugdictionary.aspx?CdrID=42622.

[24]In a pallidotomy, the surgeon destroys a tiny part of the globus pallidus by creating a scar. This reduces the brain activity in that area, which may help relieve movement symptoms such as tremor and stiffness (rigidity).

is the womb, not about real people! And far's I can tell, the people at that company who stopped that GDNF trial are either of the same stripe or, more likely, too driven by greed to want to help Rachel and others."

<div align="center">♦♦♦♦</div>

I didn't disagree with him, but neither could I stop him. He was deeply disturbed, as much by those church members as by the rules of experimental trials that kept some potential candidates out of the trial. And, he wanted very much to let me know about it. He had in fact regaled me with his story for the past hour or so, and though we had talked some about his concern on earlier visits, I had yet to understand just why he had insistently told Dr. Swift, his wife's attending neurologist on this visit, that he needed to talk with me! He continued to talk, now about his wife, Rachel.

"I've just had it, Dr. Z. But I don't know what to do. I mean, isn't there anything that could help her?" But, again, he wasn't in the least interested in what I might say – not that I could have said anything constructive about potential treatments, much less experiments going on in various places.

"Is that what you're trying to say? I mean, after all …," there was not much room in his heated outburst for me even to get out a question.

He paused. I listened to the sound of his words still echoing in the quiet room. Both of us were silent. He seemed buried in himself; I gazed around the room. Neither of us found any solace in the silence, it seemed.

"Would you like more coffee, Mr. Bittman?" I asked, thinking this might help break into what increasingly seemed the prison of his anger.

"Don't think so, not now at least." He sighed. I sat back against the chair, looked away from him for a moment wondering how to get to the reason he'd wanted to talk with me.

Then he continued, more calmly. "Purely wiped us out. I mean, she's really fading now, her poor body's at times just more and more like a block of granite. What are we to do?"

"What can I say?" I ventured, wondering if I'd ever find out why he really wanted to talk with me, but he still wasn't listening.

"And, you know, it's getting to her, too. Just the other day, I found this note she'd written on that special computer we got, her hands and fingers are so crippled and almost useless anymore, we had to do it, get that computer; she's learned it really good, too."

"She's able to write?" I was shocked.

"Oh, yeah, she's got this what they call a 'wand' that she's able to work so it can touch this or that key. The keyboard is made really sensitive so it can tell when she touches it with the wand, so she's at least able to communicate some that way. It is a chore, though."

"You have the note?" I had not been able to discuss much with him, especially during the current hospitalization, and was really curious what she might be writing.

"Right here, here's the one she really wanted me to have. I've folded it up and carry it with me, take it out and read it whenever I can. But it just makes me so sad, then I get all heated up, and I say things I suppose I should regret, but I just get so

mad sometimes. I mean, why did this have to happen to Rachel? What'd she ever do?"

"Could I see the note?" I asked. "Or maybe you'd prefer to read it to me?"

"Okay, I'll read it, 'cause carrying it in my pocket, well, that's kind of got it all crumpled up. Anyway, here's what she wrote in that one note:

> 'Can't move legs, feet, or toes much any more, they feel dense as stone, fingers too. Body: Paralysis. Me: Petrified, both senses. Wheelchair: no more. Confinement: all the time now. Downhill. Out of order. Bunch of words in vocabulary, without bother ask my permission. Nobody in right mind would openly embrace them. Except maybe Webster. Stores them up in dictionary to educate people when the time comes. Like now. Me. What happens now there's no choice? When time runs out? And I just want to flip the page to see what else life has to offer. But can't; no more anyway.

> 'Do I give up? Give in? Let myself dwindle, like so many sick do because no support system, they can't stand gradual fall into uselessness? Can't give up, give in. Feel so useless. Still, can't give in. Even if it's all I can do to open eyes and move hands and fingers. Don't know how much longer I can do even that.'

"That's all there was on that note," he said. "But then she started up again on another one, later the same day, I think. I guess she just got all tired out, like it happens so often any more. Who knows? I was at work. Anyway, the next day I noticed the computer still on so I went to close it up and found both notes; so I printed them out. That second note had some things in it that made me catch my breath:

> 'Just have to get someone to help when it's time and can't move or talk anymore. Don't know if Cy can do it, though, he's such a love, such a baby too when it comes to this. Doubt he could.

> 'New words for my own dictionary: do not under any circumstance resuscitate me, no revival for this poor old body, no more; please oh please just speed it all up a bit, help me if there's to be any pain, don't like that but don't want any of this any more. No more. Done with it. But who to help? Must talk with Dr. S about this next time. Just have to.'

"See what I mean?" His words were shaky yet jabbed the room's still air like knives, slicing everything in their way. "What's to be done? I mean," his words were relentless, "anybody don't want to help her, I'd like just for once to have them all try to walk a bit in Rachel's shoes. But what's she want of me?"

"Whoa, Mr. Bittman, please, slow down a bit, won't you?" I almost begged him. But he seemed not to hear, he was so carried away.

"Put themselves in her place, enough to kind of get the feel for what's it like for her, all locked up in that poor stiff body, corpse almost. But now, what can I do? She wants me to help her, but what do I do? Oh, yeah, I know what you're going to say," he looked over at me, frowning, "but I don't know that's what she means, and I can't do that anyway, you know? I just can't, but she wants me to do it. But somebody's got to do it, just can't stand seeing her like this, just can't. Got to ease her pain, her suffering. Got to be done, got to ask that doctor." He turned to me: "Do you think he'd help?"

Wondering if this was why he'd wanted to talk with me, I shook my head like an old dog sluicing water. "I think I know what you are suggesting, what she is

suggesting in that note, but can we be sure?" I think I was just dodging, evading what seemed perfectly obvious. "If I understand her and you, Mr. Bittman, I don't think you don't really want any such thing," I said. "I think know what you're talking about, what she's talking about, but …"

He continued, still not listening to me.

"And the thing of it is, Rachel has been so sweet and good to everybody. So sweet and nice, helping anybody who needs it, long as she could anyway."

Then he grew quiet, moved off somewhere else in himself, you could tell even though he still sat there in that chair next to the table, hands on the coffee cup, his cheek lit softly by the lamp's glow. I could even hear his breathing, the slight rustle of his pants as he crossed his legs, his shoes making a thin noise against the carpet. I started to say something, then didn't, watching as he withdrew from what seemed, what was, a dreaded prospect, looked off afar, his eyes unseeing. Then he sort of clicked back in place, returned to the room, tears staining his cheeks as he turned to me.

"She's hardly the only one who needs help; you know good as anyone, Dr. Z," he said quietly. "Maybe it's me, too." Then he grew quiet again.

"I think I understand," I tried to get in a word, "I know …," but he didn't hear.

"My God, can I do that sort of thing? Can I? Should I? I just don't know what to think anymore. And I've tried to talk with Rachel about this, but just can't do it. I guess I can't face her now, now that she's written those notes and I've read them. Just can't."

"I'm not sure just what to say, Mr. Bittman. Tell you what, though. Why don't I go in to see her? It's been a while since I've seen her, and maybe we can figure out if there's anything that needs discussing, okay? I'll find Dr. Swift later and let him know."

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Hah! "anything that needs discussing …" my words were bound to come back and bite me on my already too exposed backside. I suppose I knew right away what was really being discussed, and I just wanted some time so I could get my own wits together somewhat better than they were at that moment.

Still, he agreed, but there was no talking with Mrs. Bittman at that time, for she was still out of it, most likely exhausted and asleep, but it may be permanently unable to discuss. So, making a somewhat awkward departure from Mr. Bittman, still clearly lost in his silent mourning, I set out to talk with Dr. Swift. He was, though, out of the hospital at the time and wouldn't be back for a day or so.

Still, I was able to stop back by to see Mrs. Bittman, see if she was alert. Her husband, I reflected as I walked down the hallway, was so distressed. He was very gentle during the time I knew him and was able to chat with him. Those notes, though, put a whole 'nother color on things. But, though alert, she was unable to talk, not even to nod or shake her head. I left, hoping I could get Dr. Swift together in their room, to get Mr. Bittman to share those notes, too.

As I was leaving her room, I noticed Mr. Bittman just down the hall, talking with one of the nursing staff. He turned toward me as I walked up, greeted me, and I him. He said he'd been discussing Rachel's condition with the nurse.

We then walked away, back to the room where we'd met earlier. As soon as we walked in, he started to say something, but I interrupted him: "Well, you know, don't you?" He looked at me, surprised; I was as well, that I'd been able to get out

some words he might hear. "You know that there's truly nothing that can be done to help your wife? Not now, so far as I can tell."

I needed to get him to understand that there was nothing that could be done at this time, except comfort her and ease any pain she might experience, since her condition has deteriorated far too much by now. So, I said, "We can make her comfortable, but there simply is no therapy for her even on the horizon, so far as I can find out. And, Dr. Swift is out of town for a couple of days, but I'll talk with him soon as he returns. About those notes," I said, as I wanted him to know that the matter both was and was not closed!

His face sagged, shoulders slumped, head downcast. He looked up at me, eyes glistening like cut glass in a quiet pool. "I know, ah, hell, I know."

"You know? But what was that talk all about? The experiments and such?"

"Just what I said," he mumbled. "I mean, it's all true, you know? It's just not possible for Rachel any more. I know that. Still, there could have been something at some point, or so I thought, isn't that true?"

"I'd say you might be right, Mr. Bittman. The only thing is, I just have to emphasize that there only *might* have been something to help, at some time. I just can't say, all I can say is that from what I've read the terrain looks a bit promising."

He then said, "I think I understand. It's sort of like when you come across a river that, you just know, ought to have a lot of fish in it, it has that 'look' about it, but you've never fished there before. It just looks right. But all you can say if you have to leave before giving it a try is that it *might* have been, that it looked good, it was *promising*."

I was not exactly enamored by his stab at metaphor, but it seemed to work. He stopped talking, then, calmly began to talk.

"I do, I really do. And I appreciate your being straight with me. It's just that sometimes I get so angry at there being nothing I can do to help Rachel. But what do I do now? I keep those notes with me all the time, but what do I do? What?"

His words, plaintive plea for help when none was at hand, moved me very deeply. What, indeed? And what could I say to him? I fished around in my own particular, at the moment rather murky mind for something to say. The notes and what they apparently pled for always in the background. But during that silence, Mr. Bittman suddenly perked up, at least a little, and began talking again as we moved out of the room. As if thinking the same thing, we backed into the corner of the hallway where we had been not long before.

"You know," he said, "it just occurred to me, I just recalled a conversation Rachel and I had a month or so ago. Don't know exactly why it popped up now, but it did, and I can recall almost every word of what she said. Want to hear?"

"Oh, yes, please," I murmured, grateful, I must say, for having anything interrupt my own clumsy silence.

"It was when we were still back at home, Rachel was still able to sit up a bit and we were in the den watching TV, as I recall. Anyway, she turned down the sound, must have since I wasn't able to hear her with the sound on, her voice had already grown so soft. And she had such a beautiful voice, such a beautiful voice …," his own faded as he spoke, his eyes again focused somewhere way off, staring into space, or

maybe at that window where I'd seen those children. I looked there myself, but couldn't see anyone. We were both quiet for a moment, but it was a hush I could almost hear.

I prompted him, "And? What did she say?"

He was silent for a while longer. A nurse walked by, her uniform swishing, crisp and new, her heels rapping the floor like a metronome. She nodded at us, I smiled and nodded, and she walked on. I looked down the hall; nurses and doctors and therapists seemed everywhere except here, with us, busy with whatever it might have been. We seemed isolated even though we were in the midst of bustling activity.

"Oh, yeah," he picked up and began talking again, "well, most folks wouldn't think it, but there were times when Rachel really got around – what's the word? Surfed? – with her computer, and came across the most amazing things, she did. I recall telling her about that trial you mentioned to me, that one upstate, you know?"

I nodded, murmured something, then he went on.

"Somehow we got to talking about that research stuff. She had come across some note or something about stem cells and how they might be useful to people like her. Someone, I can't now recall just who or where, anyway they had found out something or other about trying to transplant brain cells.[25] Rachel nor I could read much of that piece, too technical. But she had found out about some Korean guys and some Americans, who were really getting close to doing something or other with those cells."

"She's really something, your wife," I said.

"Oh, you know it," he said, pride coloring his voice.

"So, what is it you were about to say?"

"I'm not sure now," he said, "but …"

"Was there anything she had read, connected, maybe, to what was in her notes?"

He slumped back against the wall, murmuring, but I couldn't tell what he was saying, so I asked again whether she had said something that might shed some light on what she'd been reading as she surfed the web.

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[25]C. R. Freed, *Journal of Neurology*, 2003; 250 Supplement 3: iii 47–50. The article suggests that transplants of neuronal stem cells called neuronal progenitor cells (i.e. cells that have already differentiated into nervous tissue cells, but that have the potential to differentiate further into highly specialized neurons) have been unsuccessful in the past, because no more than 4.2% developed into mature neurons and the percentage that developed into mature dopaminergic neurons useful for the treatment of Parkinson's disease was even lower. Now a group of Japanese researchers has found how to modify these cells by introducing a gene called the von Hippel-Lindau tumor suppressor gene, which increases their development into mature dopaminergic neurons up to 42%. Of the eight rats affected by experimentally induced parkinsonism, three were completely cured by this therapy. The Japanese researchers believe that their efforts constitute a valid therapeutic approach to Parkinson's disease that should be developed further for therapeutic use in man. See Yamada H et al. *Annals of Neurology* l (2003); 54: 352–9.

"Well," he spoke up, "there was a time when she tried to read a whole bunch of things, but none of them ever made much common sense to us. She wanted to bring in some of them to Dr. Swift, but then thought better of it, thought it might insult him or something like that, so she never brought any of them in. And," he continued, "she told me about some other sort of things on the web, not science but not religion either." He grew quite again.

"And?" I urged him to go on.

"Well one time I got this idea that if we did give them to the doctor, he might know about some trial or other, something Rachel could get into. So I said that to her. That's what I was thinking anyway, until she, well, she just said 'no'."

He paused. I glanced out the window again, my eyes searching for that small boy; nothing. The sun's going behind some clouds cast shadows over the window. Stray thoughts fly by, and I snatched one: wonder if I could get a photograph of that window? The shadows were so subtle, but then he brought me back.

He continued: "I couldn't believe it, Dr. Z, and must have said so, for she said it again."

"What? What did she say?"

"'No.' At first that was it, just 'no.' Then I prodded her some and she talked a bit more. She said, 'Cy,' which is what she's always called me, you know, 'Cy.' And here's what I recall of that, seems like every word: 'Cy, you've got to stop. You know, well as I do, that it's just too late for me. You've got to know that even if it weren't too late, and it is, it's still only '*might* be and *might* help,' never '*will*' not even '*can*' help. That's God's own truth, Cy, God's own way of doing things.'"

"'God's way'?" I wondered aloud. "What'd you think about that? What do you think she meant?"

"Well, best I can figure, then or now, …" he stopped for a moment, looked up at me, sort of smiled slightly, then went on, "forgive me, Dr. Z., but ever so often it gets to me, you know?"

"I think I know, Mr. B., I think I know."

"Anyway, best I can figure it is that Rachel believes, mightily believes, I've got to say, that God is good and true with us humans, with every creature really, as she likes to say. And God, she said back then when she could still talk out, her words come right back to me, 'God, Cy, well God has His reasons for things, or He has His understanding, which you and me, we just have to set our minds and try to figure it out; part of our job, you know, Rachel thought. God, well I think it must be something like this,' she said this time, her voice growing stronger as she spoke, 'God created everything, you see? God created everything, without God none of us, none of this would be, at all.' And I remember her sweeping her arm around, she could still do it then, at least a little, enough to let you know what she meant. 'But God created us with free will, Cy. Free will, you understand? We're always free to choose, free to recognize His works and, fact is, Cy, we *have* to choose. There's just no other choice since God saw to it that we are designed to be creatures who choose, who freely decide and choose; I mean, you see, even if we try to choose not to choose, or if we choose not to recognize His words, well, Cy, we're still choosing,

still using our free will, just as He designed it all'." He stopped, as if catching his breath, then went on with his words and memory well coordinated.

"She's an amazing woman, Dr. Z., Mr. Bittman looked over at me, his voice quietly emphatic." "She went on, I recall well, to tell me that, as she put it, 'We're free, that's what God's plan is all about: he created us to choose whatever we will, even to deny Him. Any way, we choose; that's what we are, what we do, like it or not. At first we were all in His hand, and then, when we're born – I was just thinking this the other day, Cy, just the other day – well, He just let us go, go right out of His hand, and we have to make our own way best we can, knowing we all came from that open hand that once held us, and now it's all up to each of us to find our way, choose our path, and then just get on with it. But He never gave us any guarantees, not to anybody, only that we're not free to stop being free'."

"She was really committed to this?" I wondered.

"Yes, least, that's about what she said. Best I figure, though, what she meant was for me: that I had to stop getting my wishes ahead of the facts. She said, one time, 'Cy, you just let your hopes get ahead of what's possible; oh, Cy, if only wishes were horses, you'd really be on a ride!' She was just so smart that way, Dr. Z, just clever as can be." He paused again, growing quieter.

"I remember telling her," he continued after a short pause, "that theres always a chance we'll find something that might help, that will work." And she just jumped back at me, it seemed: she said, '*Chance*! Exactly, Cy, just a chance. That's what I think God is all about,' she told me. 'When He opened His hand and let us go, be on our own, that's when chance, just another way to say free will, took over; it's the way He does things, the only way He *could* do things, once He made us free to choose for ourselves. We, though, we humans, well, it's like we just can't stand it, can't live with uncertainty and chance, and just want to control everything!'"

"Wow," I muttered, "that's impressive."

"You should also know, Dr. Z, that her words just stopped me in my tracks. Not that I've quit my fuming and fussing, as she calls it, for I am still awfully angry at anyone who thinks they know so much that they can keep any other person from doing it or others from being helped by it. That's just not right; you think about it, it's got to be contrary to what Rachel told me God is and does; and you know, I still keep on keeping on about this. I never thought much about any of that before Rachel was diagnosed with that damnable Parkinson's, but then, I started listening to her, to her own brand of thinking and believing. Let me tell you, that is one thinking woman, too."

"Yes, I think I know how you feel, Mr. Bittman."

"Dr. Z, I think about it, a lot; about what she said to me, not once but many times. I mean, what with Rachel thinking and telling me her thinking, well, it just sort of catches on, grabs you, you know? It's like her words just went into me and pulled out my own. And when I'm trying to figure out something or other, well, I find myself thinking like I've not done before."

"Oh, yeah, I do think I know what you mean."

"Well, think about it, right now: what a world of accidents that by some chance or other led to Rachel's coming down with Parkinson's. I mean, nobody knows

much about what makes it happen. From what she and Dr. Swift have said, though, and what other doctors have told us, we know that it wasn't just in the nature of things.[26] There's no one else in her family who's ever had anything like it. Then what? There's a lot of guessing about it, about things around us, poisons and such put there by dumping and such. Or, like Rachel says, just chance, her getting Parkinson's was 'one of those things, Cy, just one of those things that happen, no more, no less. Can't blame God or anyone or anything'."

"It's obvious you've thought about this a lot; I had no idea. Is this what you so wanted to talk with me about?"

"Well, yes and no. There's … there's just those notes I let you see the other day. They've still got me troubled, really down. You remember them?

"Oh, yes, I do, vividly."

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"Is that what you wanted to tell me?"

A nurse interrupted. "Dr. Zaner?"

"Yes?"

"There's a call for you, I think it's your colleague."

"Could you tell him, if it's him, that I'm busy right now and will get back to him? I'd sure appreciate that."

"Well, okay, I'll make sure who it is and give him the message. Hello, Mr. Bittman, How are you today?"

"Well, …"

"That's okay, I understand; I'll just get back to the phone." She hurried off.

"She seems pretty nice," said Mr. Bittman. "I recall her talking care of Rachel one time. Seems real nice, and she was really good with Rachel."

"That's Wanda, Wanda Norman, I think."

"Oh, yeah, I remember now. Real nice nurse."

"Can we get back to what you were saying a moment ago? Do you want to go back into the room? Or maybe go down to the cafeteria and get something?"

"No, I really don't like that room. Sorry to say that, but it's true. And, no, I'm not in for another trip down to the cafeteria. Maybe later, but not now." Then, he turned around, his back to the open hall, and got back to our discussion as I moved over to stand beside the window.

"Okay, I've got a lot on my mind, a lot. Anyway, Rachel's point, as she called it, is that people, all of us who somehow got born, it was by chance, not from some sort of iron laws. She'd say that God works that way, 'mutation' I think she called it one time. She said that was what seemed so mysterious about God's ways. And we, as she likes to say, just have to learn to live 'in the arms of God's wondrous chance.'

"What she meant for me to do was stop putting all my hope in some sort of cure. 'It's just not going to happen, Cy,' she'd say time and again. Even if something was

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[26]A genetic link was recently discovered, through studies of an Italian family going back to the eighteenth century, I think, looking at the DNA gathered from a large number of them, comparing those with Parkinson's with those in the same family that don't have it. The link was located along the long arm of chromosome 4.

discovered, she knew it was too late for her to be helped. 'Too late,' she said, 'it's gone on too long. Can't reverse what's already happened, can't get back what's already been lost. God,' she said, 'doesn't do things that way, Cy.'

"So okay, okay. But where does all that leave us?" He looked over at me, eyes unwavering. "Where? What am I supposed to do? What can I do?"

We both fell silent. I could hear a doctor not far away clicking and clicking her ballpoint pen; a woman walked by, her heels clicking as she went into a patient's room, maybe a family member or friend; somebody else was talking softly inside a nearby room; the elevator doors opened, then closed: somebody going up or down, away from here. I glanced again out the window, and this time saw the same little boy, but he was going off, going somewhere else, too, for he was soon out of sight, the little girl trailing behind, dragging what looked like a doll.

Mr. Bittman continued to talk for a short time, and it was clear that he had eventually come to the idea that he and Rachel were left with no recourse, nowhere to turn. He was having a hard time understanding how she could live with it, the Parkinson's and what she wrote in that one note, without anger, without reproach, with just acceptance. Both were, moreover – how do I say it fairly? – irritated that she could neither soften the blows of her condition nor speed up its inevitable course, its gradual grinding on down to death. Rachel had said, when she could still talk a bit, that she needed help, as he reported her words, 'to help me get on with it, just get it over and done.'

Selfishly, I confess, the more I heard about her thoughts and beliefs, the more I wanted her to recover, some at least, so we could talk; she sounded very engaging, very thoughtful. I felt I understood, especially about human pride, our native hubris that gets expressed when we try to get control of something, anything, everything. If the real message in her words was that such efforts were pointless, especially in the face of such a devastating disease as Parkinson's, well, who could disagree? I mean, who among us has the wisdom to know what to do? How to live comfortably in the face – more, in the embrace – of accidents, mutations, chance, who among us has the wits to know what's best for all folks, other folks especially?

What would an ethics of chance, so to say, look like? Seems any of us has enough difficulty just trying to figure out what's best for that person. Fact is, I doubt most of us believe in wisdom any more, that any of us has that, or could have it. Even if we need it most right now, in moments like this, when someone we love deeply is dying and there is nothing we can do to stay the unswerving force of that awful course.

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Anyway, our conversation petered out after that; both of us were weary; and neither of us had the wits to know what to say or do. In a moment, after standing there with him in the corridor in silence for a bit, I said I'd see him again later and, well, just sort of wandered off, back to my office, where I had been headed when his loud voice had brought me back. I needed to call on Dr. Swift. Soon. Needed to mull over what Mr. Bittman had said, what his wife had said.

I was able to chat only briefly with Dr. Swift. Still, it was enough and he was more than glad that I wanted to see her. In fact, he said, he had been about to call me

for a second consult with her. Seems she was now only barely able to lift her hand and eyes; they had set up a code for communicating: one nod = yes; two = no.

So, I shouldn't, he said, get too involved when asking her questions. He knew me, my tendency to get into sentences too long and unwieldy for easy comprehension. I mentioned that I really had to talk with him about the Bittman's as soon as he could get some time free. He agreed, but said now was not the time – one of the few times I'd heard any physician declare that they needed more time to think about things before he could talk with me.

When I went back to see her the next morning, what Dr. Swift had said was perfectly obvious: she could no longer talk, even grunts were no longer available; only a bare nod of her head along with a slight lift and drop of her right hand. Too, it was clear that she was terribly tired, bone-weary as my mother used to say. A bit earlier, the first time I saw her during the current hospitalization, it seemed clear to the neurologist, a Dr. Jan Recouvert, that there wasn't much that could be done for her, and, as she said to me at one point, "she's been on that long downward course to death for some time, but now it's much shorter." Now, when I saw her again, I could only wonder at how she had endured this long.

I went into her room. Our brief exchange started while Mr. Bittman was not there but had gone to his son's house to get something or other, and to check the mail I think her nurse mentioned when I walked by. It didn't take much for me to realize what she was thinking, even though her "talk" was mere nods and shakes of her hand.

"Mrs. Bittman?" I had asked as I walked in and sat down in the chair at bedside. "I'm Dr. Zaner, you remember we chatted some time back?"

Slight nod, right hand up and down.

"Well, Dr. Swift asked me if I would mind visiting with you, if that's alright?"

Brief nod, right hand up-and-down, sort of like the bobbing of a fishing lure in slightly rough water, I thought, recalling Mr. Bittman's stab at metaphor earlier.

"I think I told you when you were here some months ago, that I am not a physician. I'm the one here who, I probably told you back then, tries to help folks understand and grapple with ethics: dilemmas, problems, whatever. Do you recall?"

Nod, hand.

"So, Dr. Swift told me that you've been asking about our DNR – do not resuscitate – policy."

Nod, hand.

This isn't going to be easy, it became ever more obvious, not in any way like other occasions with other patients, although some of the questions and issues were not unlike what I'd encountered in other situations – though how they were felt by her, from within her own circumstances and understanding, was still to be learned as I "listened' to her "responses". She had closed her eyes. Still, I had to press on.

"He mentioned that you were interested in learning more about what is done and not done in such a case," I was struggling to get to the point of at least one of the matters that prompted Dr. Swift's readiness to ask for another consult: the DNR order. But it was the other issue that was in real need of discussion.

Mr. Bittman wasn't there at the time, and Swift hadn't discussed this with him as yet – it occurred to me that this was a task he'd prefer I discuss with him. In Swift's last discussion with her it seemed to him that she had been edging up on

what he called "PA suicide," in other words, physician-assisted suicide – or as many people preferred to say, more accurately, "aid in dying," since such "aid" could be given by anybody, even if "aid".

Anyway, Dr. Swift was pretty sure that Mrs. Bittman was trying ask him if he would "do that sort of thing," as he said when he asked me to see her. "You need to be clear, maybe even blunt, with her," he said. "Because, if that's what she's trying to ask me, well, I need her to know that I can't do that, no way; she needs to know that." He was emphatic. I pointed out that he would himself have to engage the matter with them, not only because they, or she, rather, had asked him, but also because he was in charge.

"Oh, I know that," he quickly responded. "But as long as you're going to see her anyway, maybe you could help? I mean, at least find out if that's what on her mind, because if it's not, well, there's no point me raising the issue, right?"

I wasn't at all sure that he was right, but it was clear to me that the question had to come up, and I was in as good a position as he, perhaps even better, to begin addressing it. As I thought about what Mr. Bittman had told me, it became apparent that this issue was more than likely what was on his mind as well – especially from what he reported of their conversation, and from the notes she'd managed to write on her computer.

So, there I was, trying to get to that thorny, dodgy place. Not only illegal in that State, as I understood it, but immoral for many of those asked to do it – although most people who have occasion not merely to think about it, but actually to be confronted with that prospect, whether as patient or loved one, most often just don't know what to think, much less what to do. I had assumed, from what he told me, that Dr. Swift understood and agreed about both law and ethics. Maybe I was wrong, I know. But, I had to start somewhere, and I could get back to him if I had to, or at least so I hoped. First things first: the DNR business. So, worried that my discomfort might be too plain, I turned to her.

"Well, then, let me go over what's done and not done, so there's no room for mistake, okay? And please, let me know if you get too tired to go on, okay?"

Nod, hand.

"If you agree – I mean only you have to agree to this, though it is obviously important for your husband to understand and agree as well – and want the doctor to write a DNR in your medical chart, only he can do that, you understand? He wouldn't write any such thing if you were opposed to it."

Slight nod, no hand movement. Then in walked Mr. Bittman, so I greeted him and explained what Dr. Swift had asked me to do. He nodded, looking over at his wife lying in the bed, and after repeating what I already told his wife, I went on, emphasizing each point and making each as briefly as I could, in particular that the DNR at this hospital included what has been termed "do not intubate" (DNI), which seemed especially pertinent in her case.

"So, in the event of a cardiac arrest, heart failure of any sort that would otherwise prompt a medical response, the DNR specifies that resuscitation not be attempted."

Nod, hand.

"The same would be true of the DNI in the event of a pulmonary event otherwise, you understand?"

Nod, hand.

"I mean in the event something happened that usually required a medical response such as intubation and being placed on the ventilator – that would not be attempted, either. If you agree that Dr. Swift should write a DNR in your chart, you would be saying, in other words, that you would not wish anyone to try and 'rescue' you, as your husband told me in our last conversation. You would not want to have your life prolonged any longer, either by resuscitating your heart or any means that could be utilized to support your breathing. Is this correct?"

While Mrs. Bittman nodded, bobbed her hand up and down, too, Mr. Bittman said, "Yeah, sure, we understand, and I know that's what Rachel wants, right, sweetie?"

Nod, hand.

"So," I asked, "is that what you wanted to be clear about?" I was thinking of what Dr. Swift had worriedly intimated to me, that 'aid in dying' issue.

They were silent for a bit, neither words nor motions. Then Mr. Bittman, looking at his wife and stirring in the chair he had brought over to the opposite side of the bed from me, mumbled something I couldn't understand.

"Is there something else, Mr. Bittman?" Knowing there must be, and dreading it, I waited.

"Well, you see, Dr. Z, it's like this. I mean, here she is, can't talk any more, not really, just with her hand and head. I mean, she's *there*, you see? Her mind nor brain aren't being affected, at least not in a way that would get in the way of her understanding; she's there and can think and … But even that little bit's on its way out, it will sooner or later won't be possible for her any more. And, well, …"

Clearly having difficulty discussing it, I ventured: "Are you asking whether Mrs. Bittman – you, Mrs. Bittman," I addressed her directly – "want to have help in dying? Is that what I'm hearing? That right?"

I waited. A shroud of silence. Mrs. Bittman, I thought, nodded ever so slightly. Maybe I only thought I saw her nod. Maybe not. Her hand hadn't moved, though.

"You know, I hope," I said, looking directly at her, then at Mr. Bittman, "that while there's been much written and said about that sort of thing, anything like that is currently illegal in this State? You know about that?"

She then nodded more clearly and bobbed her hand. Mr. Bittman, too, seemed to come awake: "We know that, Dr. Z, and that's one of the things that's got us both so beat up. I mean, who could be so heartless as to just let Rachel wither away, unable to move even a finger, not even an eye, only barely breathing, heart a mere beat now and then? Just plain locked up inside that granite prison. Who? What are we supposed to do? What?"

He faded into another pall of silence. Tears appeared in her eyes, but no other sign. No way for me to dodge this bullet. Nor could Dr. Swift avoid squaring off with it.

Help her to die; how do you do that? *Can* anybody do that? Sure, the disease, dreaded Parkinson's or Alzheimer's or Huntington's or any of the many ways in which one's sense of oneself, one's very identity, is stripped, gradually and with awareness and knowledge of what's happening, up to a point, and what's going to happen before long, all along that terrible course: any and all of these diseases will

eventually kill you; but in this case, you'll feel its steady, lingering onset and course, each slight move, each moment, knowing. Is there any legitimate way to circumvent that terrible course?

Something, though, chilled my soul while I listened to his plea for help; his wife slightly nodding, her hand moving up and down, and I wished fervently that I wasn't in this hospital, that I was elsewhere, anywhere. Then, well, maybe, I'm not sure, I just don't know. The deadly impasse, though, that's right there in the midst of that "eventually die."

There's just no way out: on the one hand, the imperative, the overriding moral (and legal) duty to relieve pain and suffering for every patient, terminally ill patients especially; on the other, the equally imperative duty to avoid harm.[27] Since relieving pain can readily be seen as equivalent to hastening death – either by directly killing with barbiturates or helping death to occur more quickly with opioids, say, to sedate and at the same time repress respiration – there seems utterly no way out of the dilemma. Damned if you do and damned if you don't. And the trouble is that standing back and doing nothing – 'letting the disease take its course,' as is so often said, usually from afar – is not in the least doing nothing, since what happens is simply that the inevitable is merely prolonged, dragged out, along with the pain and especially the suffering (by patients, by families and loved ones, as well as by the professionals in charge of the whole process).

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In transparent desperation, some physicians revert to an old Catholic doctrine, no doubt introduced with other things in mind but re-introduced not long ago in an attempt to justify the use of barbiturates or opioids for people like Rachel Bittman: the so-called "principle of double effect." As obvious an excuse as you can find, I think, and a poor one at that. Although it appeals to something that seems perfectly innocuous and true of human life in most respects – that there is a difference between "intended" and "unintended" consequences of any action – those who make such an appeal have had to add something else, because that difference is too often not at all so obvious: the difference between "intended" and "unintended *but foreseen*" effects of an action; since the "effects" of *this* action, are perfectly clear, that *unforeseen* must be added.

The idea is that the physician's "first responsibility," as one physician put it, "is to relieve pain and suffering," and the "unintended" even if clearly "foreseeable" consequence that such relief will surely hasten death is "tolerated as a necessary

[27]See, for instance, R. D. Truog, C. B. Berde, C. Mitchell, H. E. Grier, "Barbiturates in the care of the terminally ill." *New England Journal of Medicine* 1992; 327:1678–82; B. R. Ferrell, M. Rhiner. "High-tech comfort: ethical issues in cancer pain management for the 1990s," *Journal of Clinical Ethics*. 2 (1992), 108–12; also Richard M. Zaner, "Ethical Issues in Cancer Pain Management," in W. C. V. Parriss (ed.), *Cancer Pain Management*: *Principles and Practice*, Stoneham, MA: Butterworth-Heineman, Pubs., 1997, 531–8.

evil."[28] Which has always seemed to me an overly clever ruse that conceals nothing at all. The rub is in the ruse: everything depends on the notion of "intent," which may used merely try and conceal the true intent to cause death (even if from noble reasons) beneath the overt effort to relieve pain.

And with that, the big E, euthanasia, is then out of the wings and onto center stage – however clever the efforts to pretend it's something other than what it is. Justification based on the principle of double effect means that the clinician has to intend only to relieve the patient's suffering and not want or "intend" to cause the individual's death. But how in the world does one go about determining that "intent?" If you ask the physician, what could you possibly expect other than 'of course not, my intent is only to relieve pain!'

The rub in all this is transparent: both effects – relief of pain and hastening death – are often understood to be desirable, to be what everyone wants fervently, but can't or won't say. But then, the notion of 'intent' is not in the least required, nor is it particularly helpful.

Let me repeat: "double effect" relies on accepting the idea of "foreseen but unintended" effects, but in the very cases which give rise to its being considered in the first place, that idea is both unnecessary and unacceptable. Reliance on the distinction between intended and unintended but foreseen effects of an action harbors a decisive difficulty: how can a physician's intent be determined? Barbiturates can be used, by anyone who can get a hold of them, to kill patients intentionally as well as to manage pain, but there is no obvious way to distinguish between the one ("intended") and the other ("unintended but foreseen").

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None of which helped me at that moment. Nor would it help Dr. Swift later on when I went back and talked with him. At the time, all I could do is be as clear as I could, in an effort to help them be clear for themselves.

"Mr. Bittman, Mrs. Bittman," I said, "we must be very, very clear about all this. First of all, I want you know that I do appreciate what you're edging up on saying, and having real trouble saying: that helping Mrs. Bittman to die seems preferable, far, far better than letting Parkinson's do what it will inevitably do, but will take longer, be more costly, and will rob you, Mrs. Bittman, of your last sense of yourself and your dignity. I understand. Partly because," I was admittedly halting as I used these words, "I went through much the same thing with my mother some years ago: in the hospital, intensive care, intubated, terminal illness, mind dissipating slowly but ever so surely. All that."[29]

"I'm sorry to hear that, Dr. Z."

"That's not why I brought it up, Mr. Bittman."

"I know, I just wanted you to know I understand that, too," he replied.

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[28] Truog et al., ibid.

[29] I've told the story of my mother several times: *Ethics and the Clinical Encounter*, op. cit., pp. 225–42; also, as a lengthy narrative in my last book, *Conversations on the Edge*, op. cit., pp. 111–41.

"Well, anyway," I went on no more confidently than before, "I understand. I suppose Dr. Swift will also understand; he's a very experienced physician and I'm sure you aren't the first who've posed this question to him, in one or another way."

I paused, and Mr. Bittman said, "That's probably true, though it's never come up as such when I've talked with him."

"I suspect it did come up, Mr. Bittman, especially when Mrs. Bittman and he were still able to talk some weeks ago."

"Well, that's as may be," he responded, then sank back into the chair. As I had begun to talk, he had leaned forward, apparently eager to find out what I had to say. Now, he sagged back, as limp in its way as were my words. Mrs. Bittman, though, seemed quite alert, or as alert as her frozen body would allow: her eyes were focused on me, her hand constantly fluttering.

"Did you want to say something?" I asked her. She nodded. But how do I do this? "Can you help interpret, Mr. Bittman?"

"Sure can," he said. "What is it, Rachel? Talk to me sweetie," he asked.

If anyone can look frustrated without the typical overt signs of it, she surely did.

He paused, looked intently at her, sat back, looked over at me. "I think what's on her mind is, well, all this talk, it just gets her nowhere. She is so tired, Dr. Z, so weary she just wants it over and done with. But this damnable Parkinson's just won't let her go, won't do what it will do, just drags on and on. Right, sweet?"

Mrs. Bittman nodded, her hand going up and down.

"So, Dr. Z, can you or Dr. Swift help? Do we have to make her go through this for lord knows how long? Can't something be done, to speed it up? That's what she wants to ask."

"I must tell you both," I said, looking intently from one to the other, "I can't do anything, can't do what you want done. It's nothing I *can* do, because I'm not a physician and can't get the drugs necessary for helping in that way, and because, honestly, I don't think I could do that anyway. I'm not actually all that certain; maybe I would feel differently if it were one of my own family, I'm just not sure; my mother, well, honestly, she outfoxed us all, for she managed to yank out her oxygen prongs without anyone noticing. By the time she was found, it was too late. So, while I faced much the same sort of questions you must now face, I can only say 'maybe,' 'maybe I could help,' but I don't think so. But in any event, I'm prevented because I can't prescribe drugs. I can, however, and will discuss the matter with Dr. Swift. He will, I'm sure, want to talk it over with you himself."

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Which I did, soon after leaving them.

"You know already what's on their minds, Dr. Swift."

"Oh, yeah, I know alright. She made all that very clear the last time I went to chat with her. Amazing how expressive those eyes and that hand can be!"

"I know what you mean."

"Well, so what's to be done," he said more to himself than to me, so I sat back in the chair and waited, glancing around his office – surprisingly bare of the usual notices and degrees, awards and such. He kept an office as spare as his own words usually were.

"What was your impression, Dr. Zaner?" he went on to ask. "Do you think both of them really understand what's at issue?"

"I was very, very direct," I said. "I put it to them in the most direct way I know, for I asked them both whether they understood that they wanted Mrs. Bittman to be helped to die, that they were trying to find some way for us, that is, for you, to hasten her death, as opposed to sitting back and letting the Parkinson's gradually take her little by little – which they've already had a chance to experience. They want none of that, if they can have it otherwise. They both agreed, and Mr. Bittman even repeated what I said, almost word for word. I think it's plain they grasp and understand the gravity of what they are asking. I'm not sure they were very happy when I told them that I couldn't do it, for among other things, I can't get the right drugs to do the deed. And, I told them I wasn't at all sure I could do the deed in any event."

"Well, I thought so, thought they were clear and comprehended."

"And, I'll say this, too, Dr. Swift: they know full well that it is illegal for anyone else, you especially, to cause death. Putting it very bluntly, and having them repeat it to me, I believe they appreciate, too, the bind this puts you in: relieve pain, but at the same time don't harm and don't kill. I don't think there's any mistake, they know what this implies. But, honestly, they are far more focused on her than on either you or me. Which is understandable, I guess."

"Oh, yeah, that's surely so, the way it must be. Well …" His voice trailed off. Silence again, but pregnant with reflection. His eyes wandered around his office, not seeing anything there. "Well," he repeated.

"I suppose I should leave, okay?" I said.

"Yeah, sure, well …. Of course," he woke up, it seemed, "and thanks for talking with them. I guess it's hard for you, too, right?"

"Oh, yeah, it is that alright. But I must tell you, I know how much harder it is for you. As I said to them, your dilemma is much thornier than anything I am faced with, for I can't do what they want even if I wanted to: I can't prescribe the drugs, nor administer them: I don't know how. Maybe that's just an excuse, maybe I could somehow … well, no … no, hell, I can't even get her discharged from the hospital so that then I might, well, you know, if they weren't here …" A case where the practical obstacles outmatch the intelligence, wholesale.

"Oh, yes, I know; don't think I haven't thought of that myself. You got that right," he said, but in a hushed voice. "So, well, I guess I'd better get over there to talk with them. Yeah, best do that. Thanks again, at least there's no doubt what's on their agenda, right?"

"None," I answered. "But please let me know if there's any way I can help from this point on, okay?"

"Sure, I'll do that," he said, but it was already pretty obvious to me that he'd be utterly alone in this. I did not know what would happen.

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When I got back to my office – as 'luck would have it,' Mrs. Bittman might have said – some of the materials I had ordered from the library were on my desk waiting for me. I had been curious about what Mr. Bittman had been reporting about some of the research his wife had come across during her surfing the web, especially about the potential help from stem cell research. I could do little more than skim through some of at the time, though, as none of it could help her now.

It was interesting, though, to learn that animal studies had demonstrated several decades ago that fetal tissue could be successfully transplanted. Which, as Mr. Bittman insisted, could mean that there was beginning to be another option besides drugs like Levodopa, or, if that failed, as it usually did, surgical procedures like pallidotomy. The research ongoing at that very time looked quite promising – in this, Mrs. Bittman seemed correct – in its design to implant dopamine-producing fetal cells in that part of the brain typically affected by the progressive loss of such cells in the normal brain.[30]

So, presumably, had the accident (as she termed it) of Parkinson's happened to her later on, and if stem cell research were allowed to continue in this country, well, she might have been able to become a research subject in one of the experiments that might have taken place …. The 'ifs,' of course, only multiply. What Dr. Swift faced was something far more pressing and disturbing in its immediacy.

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I didn't hear from the Bittman's again, not directly. I did see Dr. Swift again, but I felt I couldn't bring it up myself; that was for him to do. But he didn't.

Still, his refusal to bring it up struck me as saying volumes. I did learn, on the other hand, through the inevitable hospital grapevine, that Mrs. Bittman had died soon after I had been with them the last time in that room with both of them talking about the forbidden, the almost unspeakable. And, I assume, Mr. Bittman – with his charming way of calling me "Dr. Z," his deep sadness and his frustration, and yes, his love for his "sweet Rachel" – had gone home and, I ardently hoped, could somehow find a way to ease his suffering and his desolation, find some way to live at peace and with his lovely memories of his lovely Rachel still intact.

A nurse said to me, "you know how it is, Dr. Z., some folks manage to die even in these palaces of compulsive care!" She must have heard me talk the other day at a

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[30]See above, Footnotes 4, 5 and 7. At the Department of Pharmacology of the University of Peking, neural stem cells obtained from rat embryos were cultured in vitro. Forty mice were included in the study: 10 controls were given saline solution and 30 were given MPTP (a neurotoxin that kills the neurons in the substantia nigra which degenerate in Parkinson's disease). Out of these 30 animals, 10 received also saline solution; neural stem cells were transplanted into the striatum of the other 20 mice, in 10 only on one side, in the other 10 on both sides. The neural stem cells survived and differentiated into astrocytes (support cells) and into dopaminergic neurons i.e. into true nerve cells that began to produce dopamine, the neurotransmitter that is lacking in Parkinson's disease. Researchers at the Memorial Sloan-Kettering Cancer Center at New York succeeded in developing a cloning technique for stem cells. Clones can then be induced to differentiate into all kinds of highly specialized cerebral cells, including dopaminergic neurons. Dopaminergic neurons were transplanted into 6 mice with experimentally induced parkinsonism. Symptoms improved and postmortem examinations revealed that the transplanted cells had formed healthy colonies in the brain. The next step will be to create individual cell lines for each mouse (with the same genetic make-up and therefore without the problem of rejection) and to transplant them with the intent of curing the disease.

nursing conference, for I had used that very phrase, one I recalled almost every time I entered this or any other hospital.[31]

Everyone at that conference, and at the nursing station close to where Mrs. Bittman had been hospitalized during those final days, seemed so intent on being cheerful, voices bright and high, eyes trying to sparkle but not always succeeding, walking always with a quick beat on floors tiled for punctuated noise.

Yes, I knew; and knew, too, what had gone on in that room after I was no longer there.

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[31]Which I learned from the fine book by Jan H. Van den Berg, *Medical Power and Medical Ethics*, New York: W. W. Norton and Co., Inc., 1978.

The Participating Professional

Phenomenology and the Task of Integrating Ethics into Professional Practices

Ion Copoeru

1 Introduction

This essay[1] is an attempt to answer the question "How can phenomenology contribute to the renovation of the professional practices in a contemporary society?" Several answers have been suggested in recent decades. In the search for adequate methods, the focus has now shifted from communication to reflection and ethics, but much remains to be done in the domain of institutional development, especially in renewed professional cultures and the design of strategies of management compatible with goal-oriented practices.

In this chapter I attempt to pay more attention to the contributions of phenomenology to the topic of professional ethics. I can rely not only on my expertise in the field of phenomenology, but also on my experience in projects involving professional ethics within the framework of a trans-disciplinary seminar, which I have been coordinating since 2005.[2]

[2] ProEtica has worked with NGOs and activists to foster intra- and inter-professional communication, as well as public discussion and debate. Its specialists provided logistical and theoretical assistance to those professional organizations seeking to increase the participation of members in shaping the policies in their field of activity and in the political life of Romania. ProEtica primarily promotes training to raise awareness and strengthen participation in the self-governance of professions. The research undertaken in this group covers the domain of ethics in professions and is oriented toward the advancement of policies and enhancing the quality of practices in various professional fields. It integrates skills and tools across various academic disciplines, like ethics, organizational psychology, public administration, law, history and so forth, with professional fields.

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This essay will advocate the need and the possibility of (re)inserting an ethical dimension into professional practice, which is seen here primarily as a form of life, and it will try to show the fruitfulness of a phenomenological approach to ethics in professions. The opportunity to test this approach arrived when I was called to participate to the implementation and the improvement of the "Deontological Code of Judges and Prosecutors in Romania," which is described in Section 4 infra.

Although my investigations aspire to provide a general theoretical framework *for integrating moral values into professional practices*, they stemmed from research focused on the moral practices of law, specifically judges and prosecutors, in today's Romania. These practices present a striking case of *practice positivism* and prompted a series of investigations, philosophical and beyond, in which the issue of ethics is fundamental. I embarked upon a critique of juridical and political positivism,[3] which manifests itself today as a kind of positivistic practice in which formalism and instrumentalism are interlocked with instituting the absence of meaning in our professional practices and in everyday lives.

Practice positivism takes various forms according to the degree of professionalization of a disciplinary field. I am referring to the idea typically expressed in sentences like: "The rules of practices, roles, and institutions do not have any necessary moral content – they simply are what they are, not what they morally ought to be."[4] There is no manifesto for practice positivism, but there is a distinct style and a sensibility, according to which practice is seen as a form of natural behavior. Practice became a form of unquestionable tradition; its forms of justification falsely appear as entirely natural.

I assumed that there is a connection between practice positivism and moral conformism. Therefore, addressing ethical issues and reinvigorating the individual's capacity to deliberate in moral matters will be seen as an antidote to the pervasiveness of positivistic, bureaucratic-like behaviors and will thus contribute to the renovation of professional practices. This task implies first of all a descriptive and prescriptive reassessment of reflective methods in professional ethics. But "reflection" somehow suggests that there is a second level of individual's thinking and acting and even a separation of these last two terms. In fact, ethical reflection cannot be separate from the professional act as a form of socio-cultural praxis.

In Section 2 of this essay I shall analyze the "anatomy" of the professional act, taking as index the structure of the ethical reasoning and pointing to the moments in which reflective attitudes (as vectors for values) are required or possible. Following Paul Ricoeur and comparing the professional act in the field of law with other fields, medicine in particular, I shall point to a more general (reflective, phenomenological) concept of the professional act. Taking inspiration in Alfred

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[3]See Ion Copoeru, "A Schutzian Perspective on the Phenomenology of Law in the Context of Positivistic Practices," *Human Studies* (2008) 32:269–277.

[4]Arthur Isak Applbaum, *Ethics for Adversaries: The Morality of Roles in Public and Professional Life*, accessed at http://ebooks.ebookmall.com/ebook/111544-ebook.htm on 30 December 2008, Chapter 3 on 30 December 2008.

Schutz's phenomenology of the social world, in Section 3 I will treat the professional act as individual judgment in the interplay between its subjective and objective sides. The third section of this essay is devoted to the description of the project which stimulated this investigation.

2 The Anatomy of the Professional Act

My interest in the professional practices has been prompted by debates on moral issues in contemporary Romanian society, more precisely by the neglect of a genuine ethical dimension in professional practices, both within academic research and within the strategies of political and administrative reform. Topics such as restorative justice and the moral and religious crisis of the individual in a fragmented society are of a legitimate interest, but somehow they mask the pervasiveness of positivistic practices, of conformism and arbitrariness, which are hampering the efforts toward deep democratic reform of the Romanian society.

Adopting the point of view of ethics in dealing with professional practices does not imply that I adopt a moralizing point of view. On the contrary. Our experience shows that it is rather about moral blindness than about moral badness. In a phenomenological attitude, we not only reveal the lifeworlds beneath the crust of formalized behaviors and ossified institutions, but we put any alleged "objective" normativity between brackets. Thus, instead of an overarching one-dimensional form of rationality, a variety of normative structures emerge.

It is legitimate, I think, that the phenomenologist begins his or her investigation of the professional practices with the rules, norms, and principles governing professional behavior. In his *Le Juste 2*,[5] Paul Ricoeur does the same when, in comparison with his previous work, *Soi-même comme un Autre*, he proposes a different articulation of the moral experience. In fact, he emphasizes what he calls "the deontological point of vue,"[6] which is framed by an *éthique de l'amont*, i.e., a fundamental ethical reflection and several *éthiques de l'aval* that deal with the practical application of moral and juridical obligation.[7] I have to underline here that I share with Ricoeur neither his deontological approach of norms in professions, nor the idea that professional ethics consist in applying some general rules. But he was totally right when he realized that, in studying ethics in professions, the philosopher should be able to grasp the characteristic forms of reasoning and argumentation.[8]

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[5]Paul Ricoeur, *Le Juste 2*, Paris: Editions Esprit, 2001, pp. 55–68.

[6]Idem., p. 43.

[7]Ibid.

[8]We can notice in the background that the researcher must be able also to accomplish a shift of his or her point of view and adapt his or herself to the diverse "reality" of professional behaviors and of their specific modes of justification.

In *Le Juste 2*, Ricoeur distinguishes three levels of the (professional) judgment: the prudential, the deontological, and the teleological.[9] He begins with the medical judgment[10] and then compares its structure with that of the judiciary act.[11] According to him, the deontological articulates a fundamental level, where the professional finds him or herself in a face-to-face relation with the beneficiary, and the teleological level, where the professional takes the ultimate goal of his or her activity into account.

Ricoeur's main concern in the above-mentioned texts was to relate the problematic of the justice with that of the correctitude (*justesse*) to which judgment points in all three of its levels. My intention is to explore the innovation potential of Ricoeur's multi-level structure of the professional reasoning, to generalize, extend, and deepen it and to bring to the light the *phenomenological* structure of the professional *act*.

I believe this (three-level) structure might be valid for any type of reasoning, not only that of the medical doctor or the judge. The social worker, the teacher, the architect etc., they are all performing professional judgments and deal with different levels of codification of the rules in their respective professions. They constantly integrate a particular *sagesse* of their profession, they refer to provisions of professional codes, and they aim at the social finality of their activity. Or, at least they should. The Ricoeurian structure has an implicit normative character; it is a matrix of the *good* professional reasoning.

Professional reasoning can be taken as an expression of a more complex act, which is built upon a form of praxis. Ricoeur shows that, as a typical assertion of the practice, the judgment is connected with the position taking of the professional.[12] The structure of the judgment reveals a particular form of intersubjectivity. The form of the judgment that is typical for a profession depends on the type of intersubjective relation between the professional and the beneficiary (symmetrical [reciprocal] or asymmetrical). It is of a high importance to see that in the professional activity the reasoning itself is modulated according to the nature of the relations in which the professional is involved. We can speak of different, if not heterogeneous, spheres of validity of professional reasoning. The normativity embedded in professional argumentation might also rely on different, possibly heterogeneous, judicative structures.[13]

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[9]Op. cit., p. 43.

[10]"Les trois niveaux du jugement médical," in op. cit., pp. 227–244.

[11]"La prise de décision dans l'acte médical et dans l'acte judiciaire," in op. cit., pp. 245–256.

[12]"Sous le vocable du jugement est désignée à la fois une assertion caractéristique de la pratique considérée, ici la prescription médicale, et la prise de position exercée par les protagonistes, soignants d'un côté, patients de l'autre." (P. Ricœur, *Le Juste 2*, pp. 42–43)

[13]Like, for example, determinative or reflective judgments, to speak in Kantian terms, or various argumentative forms adapted to the object or the domain of application, if we prefer Toulmin's theory of argumentation or Perlman's "new rhetoric."

Beside a vertical structure of the professional reasoning, Ricoeur introduces a horizontal structure. He notes that the "column" of the ethical rules is flanked by two adjacent columns structured by "heavy weight rules": on one side, the column of the biological and medical sciences, on the other side the column of public health policies. Ricoeur's reference to the sets of rules belonging to the natural sciences, on one side, and to the social policies, on the other, as "heavy weight rules" is highly suggestive. They in fact exercise constant pressure on the ethical decision-making mechanisms of the professional. They also tend drastically to limit the extent of his or her moral experience.

The professional act shows itself as a complex "system of relevances."[14] Alfred Schutz remarks that the "continual shift of interest, of relevance, and of attention"[15] is "open to further detailed description." In my eyes, he opens the path of a phenomenological approach of (professional) practices. "All really subjective description must refer to this fact 'the system of motives (or, in Parsons' language, the system of "normative values") is above all a function of the life of the human mind *in time*…,' which on the other hand is hardly compatible with the conception of ultimate values or ultimate ends, or with a normativity which can only temporarily be complied with."[16]

3 A Circumventing Path: Schutz' Contribution to Professional Ethics

Following some of Max Weber's insights concerning the place of bureaucracy in the modern world, Alfred Schutz points out that "the outstanding feature of a man's life in the modern world is his conviction that *his life-world as a whole* is neither fully understood by himself nor fully understandable to any of his fellow-men."[17] In modern society, professional activities have become highly specialized and codified and

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[14]"The necessities of physical life require the handling of physical things and the overcoming of obstacles in order to comply with the basic requirements of life. The interest in life as task to be performed builds up the system of relevances that selects the objects of the world in the world within my reach. As we have seen, it is *the* center of reality of the world of working; it corresponds to the full-awakeness of the practical attitude. In the world within my reach those objects become important that are useful or dangerous or otherwise relevant to my basic experiences." *Realities from Daily Life to Theoretical Contemplation*, in Alfred Schutz, *Collected Papers*, vol. IV, H. Wagner, G. Psathas, & F. Kersten (Eds.), Dordrecht: Kluwer Academic Publishers, 1996, p. 45.

[15]Alfred, Schutz, *Parsons' Theory of Social Action: A Critical Review by Alfred Schutz*, in Richard Grathoff (Ed.), *The Theory of Social Action: The Correspondence of Alfred Schutz and Talcott Parsons*, Bloomington, Indiana: Indiana University Press, 1978, p. 35.

[16]Ibid.

[17]Alfred Schutz, "Then Well-Informed Citizen: An Essay on the Social Distribution of Knowledge," in Alfred Schutz, *Collected Papers*, vol. II, *Studies in Social Theory*, A. Brodersen (Ed.), The Hague: Martinus Nijhoff, 1964, p. 121 (my italics).

their content consists basically in explicit rules impersonally applied. The rise of bureaucratic efficiency transformed professional life into a series of quasi-mechanical acts and tended to eliminate any reference to what Weber called "value-rationality." Accordingly, it tends to evacuate any reference to personal or substantive values held by the professional. As professions became more and more bureaucratic, professionals themselves adopted a positivist stance, which legitimized and reinforced the drive to efficiency and over-arching control over human beings.

Schutz explains this with reference to the social distribution of knowledge, refraining himself of speaking about universal ethical values or adopting a particular political perspective, even less an ideology.[18] He explains that there "is a stock of knowledge theoretically available to everyone, built up by practical experience, science, and technology as warranted insights. But this stock of knowledge is not integrated. It consists of a mere juxtaposition of more or less coherent systems of knowledge that themselves are neither coherent nor even compatible with one another. On the contrary, the abysses between the various attitudes involved in the approaches to the specialized systems are themselves a condition of the success of the specialized inquiry."[19]

Alfred Schutz had no equal in illuminating the role of "subjective" meaning in the socio-cultural world. Recent investigations onto his intellectual work and his biography made clear the fact that we cannot speak any more of an absence of ethics in his philosophy,[20] as the intellectual confrontations with Voegelin or Gurwitsch had suggested. Quite to the contrary, there is a deep sense of ethics in Schutz' view of the world. Michael Barber, who has made the major contributions to scholarship in this area, noticed that "Schutz was all too aware of how moral codes and ethical theories can be used to bolster an in-group's folkways and further exile out-groups."[21] Schutz's understanding of the social interactions and of the normativity embedded in them kept him away from ancient versions of ethics, based on a form of imposition. Once the genuine power of subjectivity is (phenomenologically) disclosed, such ethical theories are condemned, together with any other imposed order of relevances.

The prevalence of various forms of positivism in social sciences and in social interactions was a long-standing concern for Schutz. His theory of action allowed

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[18]About the sense that Schutz gave to Max Weber's neutrality value thesis, see Michael Barber, "If only to be heard: Value-Freedom and Ethics in Alfred Schutz's Economic and Political Writings," in *Explorations of the Life-World: Continuing Dialogues with Alfred Schutz*, Series: Contributions To Phenomenology, vol. 53, Endress, Martin, Psathas, George, & Nasu, Hisashi (Eds.), Dordrecht: Springer, 2005. Barber insisted on the fact that "while not sacrificing value-freedom within economic science, nevertheless opens up greater possibilities for a politico-ethical critique of the economic sphere from without." (p. 173).

[19]Ibid.

[20]See Michael Barber, *The Participating Citizen. A Biography of Alfred Schutz*, Albany: State University of New-York Press, 2004.

[21]Idem., p. XI.

him to go to the root of the phenomenon, i.e., to its practical form. He suggested that epistemological positivism in social sciences relies in fact on the practical insight, which says that to "become entangled with ancillary preparations prevents the 'execution of' the work itself."[22] This practical insight is coherent with another, which finds that "it is intolerable to conduct fruitless discussions about the goal and nature of method instead of working on actual tasks."[23]

In the text cited, Schutz deals with positivism as a methodological problem of the social sciences. Its solving requires, accordingly, methodological clarification, which is primarily philosophical. This approach would then consist in investigating the nature of sociality as well as the relation between I and thou, the nature of human actions and interactions, that of the action motivation concepts and, finally, that of the objective and subjective meaning. However, having in mind that positivism is rooted in practice – in fact, in a specific understanding of it – he noticed immediately that "this may prove itself an insecure point of departure."[24] He would therefore "choose a path which – as far as possible – will circumvent deeper philosophical strata."[25]

The circumventing path[26] has the role of a practical *epochē*. It brings forward the practical level of exchanges among individuals. Also, it prevents us from accepting situations and events that are imposed upon us as relevant, but which

> are not connected with interests chosen by us, which do not originate in acts of our discretion, and which we have to take just as they are, without any power to modify them by our spontaneous activities except by transforming the relevances thus imposed into intrinsic relevances. While that remains unachieved, we do not consider the imposed relevances as being connected with our spontaneously chosen goals. Because they are imposed upon us they remain unclarified and rather incomprehensible.[27]

Schutz shows convincingly further that the imposed relevances reveal themselves in a phenomenological analysis as the sediment of previous acts of experiencing – my own as well as of others – which are socially approved."[28]

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[22] Alfred Schutz, "Basic Concepts and Methods of the Social Sciences," in Alfred Schutz, *Collected Papers*, vol. IV, H. Wagner, G. Psathas, & F. Kersten (Eds.), Dordrecht: Kluwer Academic Publishers, 1996, p. 122.

[23] Ibidem. In my reading of this sentence I would stress upon the term "goal". This practical positivism evacuates in fact any reference to a goal and cuts off what Ricoeur calls the teleological level of the reasoning.

[24] Ibidem.

[25] Ibidem.

[26] Its roots can be found in his "methodology." As Lester Embree notices, "if Schutz conceived of his postulates as rules, he could also have expressed them as norms, or even imperatives. Interestingly, however, he rarely does so." (Lester Embree, "Economics in the Context of Alfred Schutz's Theory of Science," to be published in *Schutzian Research,* vol. I, Dordrecht: Springer, 2008. I am grateful to the author for allowing me to quote from this manuscript.

[27] Alfred Schutz, "The Well-informed Citizen. An Essay on the Social Distribution of Knowledge in Alfred Schutz, *Collected Papers*, vol. II, *Studies in Social Theory*, A. Brodersen (Ed.), The Hague: Martinus Nijhoff, 1964, p. 128.

[28] Idem, pp. 134–135.

In the above-mentioned writing, Schutz affirmed that the opinion of the well-informed citizen should prevail over those of the expert or of the man in the street. But in a posthumous writing Schutz asserts "that democracy needs to be assessed *in ethical terms* of how well it allows the point of view of its individual citizens to be heard or recognized, particularly in small forums."[29] Expert, man in the street, and, in between, well-informed citizen are ideal types and "each individual represents all of these three types."[30] The judgment can be performed only by the individual, who will decide upon one order of relevances or another.

In his "Memorandum…," Schutz pushed the discussion from the ideal type of the well-informed citizen – the central topic of the essay with the same title – to that of the well-informed judgment.[31] In discussing "what are the pre-requisites of a well-informed judgment,"[32] he does not refer to any logical structures or general values, but to the ways in which the individual processes knowledge and to his or her capacity to operate with relevances at his or her level. He reiterates then the three ideal types that we find also in "The Well-Informed Citizen," but giving them a different thematic orientation. We can notice that what distinguishes the *well-informed citizen* is not the degree of knowledge that he disposes of, but precisely that he "knows that certain events of his *immediate* concern are or might become relevant to him."[33] We can see at the end of the "Memorandum" that, in spite of a certain skeptical tone, Schutz maintains that "the art of formulating independent judgments and of taking into consideration the point[s] of view of others"[34] is the accomplishment of a philosophical life.

In spite of many useful insights on professions, especially those of law, Schutz did not elaborate a professional ethics. However, the ethics associated with the ideal type of the well-informed citizen is easily transposed into today's field of professional ethics. Schutz provided us with a valuable tool in addressing what I name in this chapter "practice positivism." Bringing to the light the topics of the individual judgment and of the shift in the order of relevances, he takes full benefit from the advances that phenomenology made in the twentieth century. The fact that his insights in this respect are similar to Ricoeur's brings additional confirmation for the conclusion that phenomenologists should direct their attention more on the topic of reasoning and show more concern for the practical issues of life. With Ricoeur and Schutz, ethics is re-situated at the level of the individual and its core is a form of an "epistemic normativity."[35]

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[29]Michael Barber, *The Participating Citizen. A Biography of Alfred Schutz*, Albany: State University of New-York Press, 2004, p. XII (my italics).

[30]Alfred Schutz, Memorandum to Doctor Harold Lasswell, June 7, 1956, in *Schutzian Social Science*, Lester Embree (Ed.), Ch. 12. Dordrecht: Kluwer Academic Publishers, 1999, p. 292.

[31]Ibid.

[32]Ibid.

[33]Idem. p. 293.

[34]Idem. p. 297.

[35]Michael Barber, loc. cit.

4   Drawing Lessons from a Project in the Field of Legal Ethics

Both Ricoeur's theory of reasoning and Schutz's subjective clarification of the objective meanings inspired the project of implementing and improving the Deontological Code of Judges and Prosecutors from Romania.[36] In exchange, many of the phenomenological insights have found a field of experience against which they can be "tested." The key concern of the project was the following one: *how is it possible to build and enhance the capacity of magistrates to operate, individually or collectively, with norms and rules in a reflective way?*

My inquiry concerning the contribution of phenomenology to the improvement of professional practices through the integration of ethical decision-making into the professional act has been prompted by two strategic observations. The first one says that professional practices are a continuous and irrepressible source of conformism and moral disengagement and eventually they will hamper political freedom and open the path to a new form of authoritarianism. The second one states that there is there is no field other that the legal practices one where these effects are more visible and more dangerous to the democratic life. Therefore, our main interest, both as researchers and participating citizens, should be directed to the ways in which law, politics, and morality are interlocked in the field of professional practices.

The democratization and Europeanization of Romania put its legal system under pressure, originating both in the domestic public opinion and various forms of political conditionality. The implementation of the principle of separation of powers in the State and the introduction and the effective exercise of judicial control over the institutions of the State from *legal professional practices* make up the core political transformations and the index of progress registered in this direction.

The introduction of a moral dimension in the professional practices should contribute to the reform of the habits related to a paternalistic and arbitrary manner of exercising power and to the giving of a stronger impetus to the dynamics of social creativity in a society that tends to succumb under the weight of rigid rules and brutal games of interests. What was many times been described as a moral crisis of post-communist society, caught in the transition from the Communist "closed" society to a democratic "open" society, appears as the skeptical and defeatist effect of the individuals' incapacity to communicate and to act in an organized manner in order to obtain a greater social outcome and personal recognition.

From this point of view, the weakness of today's professional is a form of *moral conformism*; it is the expression of the incapacity of the subject (individual or collective) to adopt an active and creative position towards the socio-cultural environment in

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[36]"*Coordinates of the Magistrate's Ethical Profile. New Exigencies of the Judge's Moral Evaluation*", undertaken by the ProEtica seminar (Ion Copoeru, Ungvari-Zrinyi Imre and Mihaela Frunza) within the Philosophy Department of the Babeş-Bolyai University Cluj-Napoca, to which Emanuel Sociaciu from the Center of Applied Ethics of the University of Bucharest also joined. It took place during February – September 2006 and it was approved by the Superior Council of Magistracy (Decision 328 of 24 August 2005).

which he or she is exercising a profession. An active, open and productive exchange between the agents is required when it is about to create an authentic *cultural* normative environment. His or her incapacity to act towards the social environment is showed in the first place by the incapacity to provide new meanings for his or her actions, for which the sharp separation between action and discourse is the most peremptory sign. The first step of my approach is to put the professional act (the act of judging of the judge, in this case) back in contact with its (forgotten, misappropriated, improper) meanings. The second step is the re-contextualization of the professional act, through the restoration of its ties with the social, cultural, and communicative environment, with its "constitutive" source.

It was very important for the success of this enterprise to understand practices by themselves, to forge a point of view of the practice, and to avoid a general theoretical perspective, grounded on supposed a priori truths regarding law and justice. It opposes and dismisses an "ideological," i.e., external, point of view built upon the "command-and-control" type of political action.[37]

An explanation regarding the disappointing results of the legal system's reform and the difficulties, somehow unexpected, of the implementation of a European judiciary in Romania is to be found in the *positivist presuppositions* that underlie the professional behaviors within the legal system. They make the incorporation of the law in the social tissue as difficult as the incorporation of moral principles in the law. Taking the form of a strong legalism, these presuppositions close the field of juridical practice to any exterior normative request formulated by the political powers or public opinion and even to the general principles of justice.

This happened not only due to insufficiently grounded theoretical suppositions – although this situation may play an important role – but because of the inability to situate individual behavior into the here-and-now, especially in the case of professional behavior, i.e., an action in a spatially and temporally limited space, subject to particular constraints, usually encoded in customs or particular sets of norms that tend to overcome, sometimes even to contradict, the moral everyday intuitions of the people or the norms and rules of the society.

The focus of the project, therefore, was not on the final "product" – a new code, for example – but on the mechanisms through which individuals and organizations became aware of the moral issues which they were confronting. The development of a mature professional culture capable of solving and modifying "from the inside" its normative ethical standards and practices essentially depends on the opportunity and the capacity of individuals to reflect upon and discuss the ethical aspects of their professional life.

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[37]Accordingly, a change in the researcher's role (philosopher or, in general, the intellectual) is required. The task of implementing already drafted norms – as the Superior Council of Magistracy intended – seemed from the beginning incompatible with the idea of reflective transformation ("from the inside") of the collective practices and of the individual behavior of magistrates. Confronted with professionals and having to cope with the in-place institutional "logic," the philosopher has to learn and (to) accept the art of compromise, but he also has (also) to keep his eyes on the final goal. The initial design of the project, as well as its development, were originally intended to follow what had already been done with respect to the code of the profession in Romania.

5   Final Remarks

It is not sufficient in phenomenologically dealing with the topic of professional practice to speak about communication, ethics, and reflection and I totally acknowledge that much more should be done in this direction. Both as philosophers and professionals we should address frontally the question of how values can be integrated in professional practice. My point here was that the phenomenological analyses of the ways in which normativity is embedded in and shapes professional practices provides us the tools of understanding human ("subjective") capacity of transforming our cultural environment.

I have contended that an ethical dimension is deeply embedded in the professional act and that phenomenology is able to disclose its general structure as well as its normative power and also to contribute to the renovation of professional practices. Such a task requires a phenomenological interrogation of the meaning of professional practices and of their specific (practical) knowledge. The special knowledge of the practical realm of professional activity should nevertheless avoid the prevalence of *technē* and lead us to (re)connecting the production of means to the effective awareness of ends; it should also thematize the effective intrinsic normativity of that practical realm. In my view, the phenomenological approach of the professional activity provides us with efficient means in fighting contemporary forms of the practice positivism.

The fundamental methodological character of phenomenological thinking consists in that that the auto-donation of the object as phenomenon reveals, as a result of the shifting of the "natural attitude," the sphere of subjective intentional modifications. Its description is subtended and oriented by the idea of a non-metaphysical consciousness of effectiveness and manifests the need to disclose such a shifting of the attitude in the realm of the practical.

My focus on professional practices indicates the abandonment of the ontological meta-level, traditionally presupposed by theory and reflection, and the decision to keep any theorizing in close contact with the everyday experience and action. Accordingly, the normativity embedded in the professional practice as a form of life has to be thought as independent of a presupposed ontological meta-level grounding the rules, norms, and principles that command the professional practice. Therefore legal ethics, and more generally jurisprudence, occupy a special position, furnishing the basic material for a renewed theory of method in phenomenology.

Professional practice is usually understood as definite daily work in a given organization, but it actually and basically consists in being under the command (of a chief) and of internalizing imposed orders of relevance. Work is often machine-like and excludes thinking from it. Resisting the temptation of abandonment, of not thinking anymore, and not questioning the commands and the supposed objective normativity is a matter of survival of the worker, of the individual involved in that activity and of the organization.

Professional activity should be a meaningful cultural action, i.e., a space where individuals could be *participating* to their own lives.

The intention of the project briefly described in the Section 4 of this chapter was to provide a methodology for thinking about ethics and regulation (in the legal profession) in a way that facilitates a higher quality of professional act. It suggests an understanding of professional regulation as primarily relying on the capacity of individuals and organizations to reflectively operate with rules and norms regarding their conduct. But, if we go beyond its practical intention, we may envision a concept of practice comprehensive enough to include both the universal capacity to become fully human and the constraining circumstances and fallible institutions through which people exercise that capacity.

Once we see professional practices as depending of an ultimate goal – the realization of the potential of each individual – we cannot conceive "capacities" as natural traits of the human condition, but as cultural or symbolic ones. Accordingly, the understanding of the contemporary human condition cannot be dissociated from the process of meaning constitution and from existential involvement. Thus, in shifting from the "natural attitude" to a phenomenological one, I see the possibility of disclosing a specific realm – that of professional practices – that might be considered further as a pattern or model for the interaction of heterogeneous modes of reasoning.

Professional practices became nowadays the place where renewed forms of anonymity and arbitrariness are still active. The major task of phenomenology today, both as philosophical investigation and as a form of civic engagement, consists in reinforcing the individual's capacity to judge and make decisions by securing, theoretically and practically, the "subjective point of view." Therefore, phenomenologically inspired professional ethics is, in my view, able to draw the outlines of what ethical life should mean for us.

Hannah Arendt considered the state of modern humanity from the perspective of the actions which the modern man is capable of.

My inquiry is consistent with her normative conclusion, namely that human agency and political freedom have to be strengthened and contemporary humanity should develop means of controlling the consequences of its actions. But, if we acknowledge the central place of the concept of action, we should turn our attention more to the professional life of modern individuals and take notice of their "human condition". Some decisions are and ought to be "political" as opposed to those of bureaucratic-like professionals and humanity should preserve a special place for them – a public space. On the other hand, professional decisions should be conceived as fundamentally ethical (which however should not deny the specificity of each field of practice nor the specific practical reasons which animate them.

From this vantage point, professional practices acquire the dignity of a concept of philosophy and re-open the issue of the appropriation of our own life, of an authentic *participation*.

Phenomenological Overcoming of Western Prejudices against Nonhuman Animals

María-Luz Pintos

1 Introduction

When I was invited to participate in the tribute book to our dear friend Lester Embree, I immediately thought of submitting an essay on a subject highly valued by him. I will later provide more than one explanation concerning the relationship between this phenomenologist and the issue of non-human animals. But, prior to that, it seems to me an obligation to begin by acknowledging reaction which is very frequent whenever one sees a phenomenological analysis as the one I here propose. The reaction among phenomenologists is frequently of bafflement, followed by questions more or less such as these: Why speak about non-human animals *from* phenomenology? Can phenomenology really contribute to the debate about this matter? The debate on non-human animals – which mainly develops within the field of ethics – is already several years of age and has thus achieved to gather a good amount of specialized literature from the most diverse positions. Well, if phenomenology could contribute to this debate, which would be its contribution? And, in this case, if we place ourselves within phenomenology, and, more precisely, within the thought of Edmund Husserl, is it really justified to address this subject? That is to say, is there any element in Husserlian theory, or its concrete procedure, that can support us here and that can justify an attempt to make a phenomenological contribution to this debate? In other terms, does the analysis of a subject such as that of non-human animals form part of the phenomenological tradition? And, how can this be justified?

An attempt will be made to answer these questions as the essay advances. And in such attempt, my goal will be twofold: (1) to uncover or deconstruct prejudices against non-human animals from the strictest phenomenology, that is to say, by using the phenomenological method, as I will also justify. (2) To show that this attempt is very much aligned with Embreean thought, and that this phenomenologist

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is today a reference point to frame this issue and others of similar nature which also form part of our current preoccupations within the tradition of phenomenology.

2 Why Speak of Non-human Animals from Philosophy and What Motivates the Current Interest?

In my opinion, there are two main causes for the issue of non-human animals gaining more attention from critical thought – and especially from philosophy – than it has in all these centuries of Western history. The first cause is "intrinsic" to philosophy itself, while the second is extrinsic to it.

Intrinsic cause. The intrinsic cause will be very well understood if we refer back to Kant in order to take him as our culture's typical thinker, and if we tackle the anthropological question that he posed it in 1800 in his *Logic*, also with a typically Western approach. Kant's attitude towards the need to turn the issue of the *anthropos* into a core question in philosophy still has full validity in our days: What can I know? What may I do? What am I to expect? Ultimately, what or who are we? What is the human being? However, the investigation strategy hiding beneath these Kantian questions cannot be transplanted to our time. Moreover, if we contemplate the style which Kant adopts when he reflects in this manner upon the human being from our present day, we can see a central error in it; an error which, in general, is also central in the culture and the philosophy of the West. More so: this Kantian formulation can now aggravate our sensibility; but not because of that which he proposes to analyze in it, but rather because of what is absent in this formulation, even though there is still "a part" of it we can assume today.

In my opinion, in a philosophy intending to be *of today* and *for today*, to know "what we are" as humans should not be so important as it is to know "what we can do and what we ought to do with that what we are, once we know what we are." Of course, in order to know *what we can and ought to do with what we are*, a prior clarification of *what* we are is necessary. And it is here where we would still be moving along the lines of a Kantian work scheme; that is to say, in its acceptable part. However, we detach ourselves from this Kantian scheme in that today, in order to formulate the question of what we can and ought to do with what we are, we believe that from within philosophy – intrinsically, that is – it is unavoidable *to have the situation in which we find ourselves within sight*.

But, above all, *who are we speaking of? Who are we that find ourselves in such situation as the one in which we do today?* Who? Without a doubt, not just us, but also the others, that is, not only we humans of the West now confronting these issues, but also the other humans, from other peoples, other latitudes, other cultures. But not only the set of all humans, since this *who* has today been widened also to encompass other non-human living beings (vegetable and animal), which, just as all of us, are co-inhabitants – both between one another and with respect to us – of this planet Earth, a planet that equally belongs to all. The current ecological sensibility also implies this widening.

It is precisely these non-human living beings who are *absent* in the Kantian formulation of the problem, and in the larger part of the reflections made in philosophy. And today we become aware of this absence because both new discoveries in science and the coming of age which has been taking place in our way of interpreting ourselves are forcing us to accept – with increasing evidence – that the entanglement between humans and other beings is very severe in all senses.[1] Thus, only by turning our reflection towards the other fellow inhabitants of the planet, by accepting our essential entanglement with them and taking our anthropological reflection to it in order to examine how our behaviour – as humans – towards them has been and how it should be, can we create a philosophy that truly meets the demands of our time; that is to say, a philosophy released from such nefarious prejudices as that of anthropocentrism and speciesism, which are in fact those underlying Kantian thought; prejudices which from our current perspective can be qualified as pertaining to the stalest of anachronisms, which it would now be urgent to overcome. These prejudices about non-humans are, of course, reciprocal to the prejudices that we human animals always have about ourselves. The self-image of humans goes parallel to the image of all that surrounds us and, concretely, of the other animals which – so we say – "are not like we are."

It seems, then, when pulling the string of the fundamental question around which philosophy turns, it happens today as when one picks a cherry from a basket and several other cherries come out attached to it: a whole series of intertwined and correlated questions appear: (1) what we are, (2) what we can and ought to do with what we are, (3) what we can and ought to do with the situation in which we find ourselves today, (4) and in which all of the planet's inhabitants, both human and non-human, find themselves. It is this point 4 that I would like to stress here, because it indicates the novelty of today's approach with respect to that of Kant – naturally, taking the latter not by himself but as a spokesman of our tradition. Whereas it was his preoccupation to achieve "a knowledge of man as a world citizen" (that is, a kind of knowledge which, as such, has its maximum goal in the human being), for us today the issue is rather a knowledge of the human being above all as a co-inhabitant of the planet, that is, as a being who lives together-with-others, human and non-human. This significantly changes the scope of this knowledge and the attitude deriving from it.

Extrinsic Cause. It seems to us philosophers, then, that knowing ourselves *today*, in this precise moment towards the end of 2007 should be framed within the *empirical situation* of how life is currently going for *all* of the co-inhabitants of the planet, and not just for humans. This is the important matter and the matter which makes a difference in relation to the previous philosophy. And this "empirical situation in global terms" is the "extrinsic" cause which is acting upon – or should act upon – philosophy's current preoccupation for non-human animals.

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[1] I deal further with this idea in: María-Luz Pintos "La recuperación de la animalidad. Utilidad y aplicabilidad de la fenomenología a los cien años de su surgimiento," in César Moreno Márquez/ Alicia M. de Mingo (eds.) *Signo. Intencionalidad. Verdad. Estudios de Fenomenología*, Sevilla: Sociedad Española de Fenomenología / Universidad de Sevilla, 2005, pp. 369–388.

As we know, the situation in our world today is a profound ecological crisis in a planetary scale. And this current crisis presents, among others, the following features: (1) this crisis is associated to an acceleration of climate change – an acceleration entailing unstoppable negative effects; (2) this crisis implies a deterioration of all of the ecosystems in the planet; (3) this crisis is already affecting – or will affect in a very short term – all of the living species in the planet, one way or another.[2] It is also a part of the situation of our world today that since late 2006 scientists have come to an agreement regarding the aetiology of such acceleration of climate change. We already knew that, ever since our planet exists, climate changes have always occurred; climate changes which have caused drastic transformations in all ecosystems. However, scientists currently announce to us, firstly, that we are not witnessing a climate change now, but an acceleration of climate change. Secondly, they announce that this acceleration of climate change is mainly due to "human activity"; that is, mainly due to "a certain orientation of human activity" and, therefore, to an entirely "cultural" cause. More concretely: beyond any doubt, it is Western human activity that is promoting this nefarious acceleration of climate change. And, what is very serious, this Western activity is the one being taken as a model by the remaining societies and the one being inexorably reproduced on a global scale.

Now then, this *kind of Western human activity is possible only because it rests on a certain notion of the human being and its environment*. Our Western culture has always been related to an interpretation of reality and a self-interpretation of ourselves, humans, which are both anthropocentric and speciesist: human species holds itself as superior and centre of the planet and regards its interests as a species as the most important and the only ones to be taken into account, not only with relation to those of the remaining animal and vegetable species but before nature as a whole. That is, among all living beings in the planet, our human species does not only see itself as occupying a central and sovereign position, and is not only more prone to privilege the interests of our species above those of others, but it is even willing to inflict upon the remaining living beings a pain and suffering it would generally not be willing to cause its own kind.

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[2]As far as the human species is concerned, it is said that droughts and icecap melting will leave over a billion men and women without drinkable water. To this should be added other effects that we will suffer from, such as floods, hurricanes in greater number and more destructive, fires and loss of fertile soil, etc. Evidently, all of the factors that will increasingly affect us will also affect the remaining living species; and even much more than us, since they lack the technology to face or counter some of these catastrophes and, therefore, they are theoretically more vulnerable than we are. Experts warn us of that, if global warming continues at the current pace, climate change will cause that 20–30% of all animal and vegetable species in the planet will go extinct without a remedy in what they describe as "massive extinction." In fact, while I write this, a harsh story is appearing in the press: up to this date, there are 41,415 endangered species, out of which 16,306 are in danger of extinction; almost 200 more than last year. Statistically, "one mammal out of four, one bird out of eight, one amphibian out of three, and 70% of all plants," according to a study of the ecologist organization UICN-The World Conservation Union (http://www.iucn.org/en/news/archive/2007/09/12_pr_redlist_es.htm).

3 The Debate About Non-human Animals from Outside Phenomenology

In my opinion, both all of the great problems that have been appearing in the theoretical debate about non-human animals since it exists and the notion that people have about them, as well as the value we have always assigned to them, and our indefensible behaviour towards them, have their origin in a double cause:

1. On the one hand, *all of this comes from the same starting point* which – as I sustain here – is wrong and has inevitably led the current debate to a situation of *stagnation*, of *impasse*. This starting point is based upon the belief that human and non-human animals are essentially *different*.
2. On the other hand, *all of this revolves around one and the same focal point*, although some times this focal point comes up as openly explicit in the current debate and others it is only hinted at in an indirect manner: *whether or not to consider non-human animals as "subjects."*

Both points are very meaningful in order to manage to connect this issue with the phenomenological perspective. They are very meaningful for two reasons. In the first place, in both points are gathered many of the errors and prejudices of our traditional relationship with non-human animals; even the current debate, carried out *from outside phenomenology*, moves amidst these errors and prejudices of our Western history, sometimes to attempt to leave them behind, and others, unfortunately, to further cling on to them without having achieved their overcoming or at least, their whole overcoming. In the second place, maybe these two points are the largest obstacle to attain true progress in the current debate; thereby its importance. And, since if we want to contribute to this progress *from inside phenomenology*, we are to begin with knowing this problematic and the current state of *impasse* of the debate I have mentioned above, I will address these two points in greater depth before attempting the phenomenological contribution in the section that will follow this one.[3]

1. The incontestable belief in an unfathomable "difference" between human and non-human species is one of our most ancient and entrenched presuppositions in the West, as it can in fact be attested in the account of world creation in the biblical book of *Genesis*, undoubtedly one of the sources that have most influenced our mentality. Westerners have constantly sought to elaborate *on the differences* between our human species and the other species, instead of making efforts to seek for *connecting points*, that is, instead of looking for that which is *shared* in

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[3]I discard to lay down a synthesis which conjoins all positions, authors and dialectic history of the debate on non-human animals. Besides the fact that this would exceed the space I would be able to grant it here, doing this would be unnecessary to fulfil the purpose which conducts this essay. I will confine myself, thus, to point out what, in my opinion, is the most meaningful to *connect with the phenomenological perspective*.

a general manner by animal species and whose knowledge and acceptance would lead us to a responsible attitude of union and respect between our species and the rest. Very frequently, this tendency to begin with the difference and elaborate on it has had the goal – the implicit and unconfessed goal – of spearheading practices of unequal treatment in a conceptual level.

We are to be honest and acknowledge that, throughout our Western history, when we have taken our reflection to non-human animals, it has generally been to contemplate them "from a distance" and in their "difference," that is, in order to see them as the living beings *not* possessing a spiritual "soul," as those *not* made "In the likeness of God," as those that are *not* free but determined by their instincts and that, therefore, are merely pure "body," pure "nature," as those that are *not* "subjects," therefore those beings whose life is does *not* have value, or has it only insofar as they can be profited by humans, be it as beasts of burden, or as raw material to make clothing, as food, as "pets," as a business, as laboratory animals, etc. As a consequence of holding them to be just "body" and just "nature," the attention that has been granted to non-human animals in our thought has been rather scarce, as has been the attention given to the "body" in general (to the body of desire, the body of needs, the instinctive body, the emotional body …) and to the "natural."

In this same line, the typical procedure to address the issue of non-human animals in the reflective level has consisted and consists, invariably, in beginning with the statement that we are essentially different. And afterwards – and only afterwards – perhaps looking for "some similarities" that serve us as a ground to change our current consideration of non-humans for another which morally inclines us to a more respectful conduct towards them. That is, what is intended by such procedure is to associate a change of attitude regarding non-human animals with the discovery of attributes in them which we had always thought to be exclusive to human species.

But perhaps this is a bad start; a repeated and very bad start. One cannot start from the prejudice of difference, take it for granted in one's reflection without ever coming to identify it as a *prejudice* (meaning, as an idea that is already there, *previous* to one's own reflection and which, when unconsciously assumed, prevents us from doing away with it) and expect the final miracle of finding an alleged "meeting point" between non-humans and humans in which sufficient similarities between one and the other arise so as to minimize *a posteriori* the difference with which one had started. *We cannot find a firm moral tie with non humans by beginning with what makes us different*. Why? Because this meeting point that we believe to have found will never be as originary, essential and incontestable as the essential difference which had been taken as a starting point. This procedure, so usual in the current debate, entails thus several inconveniences (such as, for instance, that there will be different perspectives concerning that search and that discovery of a moral tie, with the uncertainties this produces) and also a great error.

This error consists in that, firstly, the comparison between human and non-human animals is always begun by *privileging certain attributes* considered to be very peculiar to "humans" and to have a very high value – besides the fact that the privileged attributes may vary, depending on the school or the thinker who is drawing the comparison. Once these attributes have been chosen out of all the ones we

also possess, the procedure carries on to look for them in non-human animals, to then conclude whether they have them as well, and to which extent, or if they lack them altogether. And only in the event that they are found in them, in a third stage these animals come to be considered as a little "human," in whatever degree.

What I want to stress here is that, in any case, according to such an usual procedure, non-human animals are always to be compared with "us." That is, the starting point is always taking ourselves – humans – as a model and always on the grounds of these attributes that we have "previously" decided to highlight among the many that we possess. Naturally, who acts thus takes for granted that these selected attributes are those which best express our difference as humans. However, surreptitiously or not, our enduring anthropocentric attitude is yet again manifest in this procedure.

Let us give an example of this wrongful proceeding. The concept of "culture" has been frequently understood in association with the meaning derived from its etymology: "culture" is the art of "cultivating oneself," that is, the art of improving and refining our way of thinking, our tastes and our manners. Taking support from this meaning, the "cultural being" has been privileged as one of our most defining features. And the following step has been that of trying to find "cultural" features of this kind and in such a narrow meaning in non-human animals. By doing so, it has been attempted in vain to find something in non-human animals which should have never been looked for in them. And, in accordance with this frustrated search, some authors have hurried too much in proclaiming that, definitely, non-human animals are *not* "cultural" beings and, therefore, *we are at a very large distance from them* – of course a distance in our favour. Those beings which are not free to conduct themselves in a "rational" manner, and which lack the faculty of "refining" themselves because they are moved by their instincts beyond remedy are only a part of "nature" and, therefore, never "cultural" beings. Said in a derogatory manner, they are to us the "*non*-humans," meaning, those which are not at our height, those which are "beneath us," those "inferior" to humans as regards all they do "not" have or what they are "not" comparatively speaking. This is an example of how non-humans have been understood as the "other," that is, as "the different," and even, as our antithesis – "the opposite to us." They have been understood this way as a consequence of following this methodological procedure of starting from the essential difference between human and non-human animals in order to, subsequently, attempt to find similarities which alter our valuation and behaviour towards them, on the whole, similarities which make our ethics change.

In order to provide more examples, it might suffice to mention other human attributes which are very anthropocentrically privileged – or have been privileged at a certain moment – to begin with the comparison with non-human animals: the capacity for self-awareness, rational intelligence, freedom of choice, the ability to communicate through symbolic language (in many cases even orally), or the capacity for respecting the rights of others.[4] Since we will hardly find these attributes in

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[4]In regard to this latter point, see María-Luz Pintos "Los derechos de todos los seres vivos a la luz de la fenomenología," in *Investigaciones Fenomenológicas. Revista de la Sociedad Española de Fenomenología* 4 (2005) 99–115: http:www.UNED.esdpto_fim/invFen4/portadaInvFen_4.html

non-human animals *by looking for them as they appear in humans*, the conclusion ensuing from the comparison between humans and other species is evident.

It is true that, since the discoveries of gestalt theorist Wolfgang Köhler during the first quarter of the twentieth century, and thanks to current and continuous discoveries over these past few years, we know that certain animal species have at least some of these attributes, in whichever degree. However, having discovered it has not stopped all the resistance to admitting the similarity between those species and ours and – as we shall see – has placed us before new difficulties which I will mention as follows.

2. We said before that all the great problems which appear in the debate about non-human animals revolve around the same and only focal point: *whether or not to admit that non-humans are "subjects*." Sometimes this issue has been openly addressed, and others shown only in an indirect manner. However, all the errors of our tradition – such as, for example, those above mentioned – and all the conceptions participating in the debate about them revolve around this question of the recognition of non-humans *as "subjects*." Since this is a key aspect on which I will base my phenomenological perspective, I will leave its critical analysis for the upcoming section. I will now confine myself to begin with this issue as a preparation for such sections.

As a general rule, the starting point in our culture is that we humans are "subjects." And this belief is accompanied by a decision which also acts as a belief: the prevalence of the "subject" over that which – so it is thought – *is not*, and which is, therefore, merely "object." We are bound to this prejudicial double belief and, therefore, it is in no case put to doubt. For progressive minds, the following step is to look for characteristics in the other animals that allow us to conclude that they are "subjects" in the same way that we are. As it will be later dealt with, it is all about seeing a "human subject" in them more than an "animal subject," since the prejudice we drag means categorizing "subject" exclusively as "human."

To anthropocentrically classify non-human living beings as non-"subjects" is never a neutral classification or one pertaining only the pure theoretical level but rather clearly, conceptual classification has very real practical repercussions: those that are not "subject" but only "object" receive an inferior valuation than that corresponding those that are "subjects." Consequently, this notion of being mere "objects," together with this consubstantial inferiority valuation will favour an irrevocably asymmetrical and species-biased behaviour towards them. In fact, this conception has always served us as a basis – be it verbally expressed or not – to commit the most unacceptable abuses at a practical level: once they have been classified as "objects" and as mere "nature," they are regarded as being so different and alien to us, that is, so "other" than, theoretically, we find no moral qualm with using them for our service, with exploiting them against their own interest, cruelly mistreating them by inflicting them unnecessary pain, with reducing, modifying or eliminating their habitats until producing very difficult or impossible living conditions for them, and even to exterminate them as a species, etc.

In our effort to draw comparisons between ourselves *and* non-humans, this comparative procedure usually privileges attributes such as, for example, the possession of a "rational intellect" to what pertains the "bodily" and "emotional." As we pointed out

before, it forms part of this procedure that we previously (a) define ourselves holders of a rational intelligence and, also, that we subsequently (b) search for these attributes in non-human animals to see whether they have in themselves such a "human" feature, such feature of our own, as to feel ethically bound to them. But the result to which one inevitably arrives is not devoid of difficulties and new problems, just as I had announced. In the first place, those non-human animals which can be demonstrated to have highly developed cognitive abilities – as is the case of the *pongidae* group of primates: chimpanzees, bonobos, gorillas and orangutans – theoretically cease to be considered as "objects." However, the paradox lies in that, despite this, there is a general reluctance to qualify them as "subjects." Why is this? Naturally, because with this change of concept they would change their value, and this would suppose certain determined ethical consequences which would not be convenient to all humans. These "intelligent" non-human animals are not "objects." Paradoxically, many people have difficulties in admitting that if non-human animals are not "objects," then they are "subjects." Accepting at a theoretical level that they are a "subject" would imply certain consequences in the practical level which, since they would not always benefit us, we are reluctant to accept. In any case, it is usually thought to be "uncomfortable" to regard these animals as too "human," too similar to us.

As a proof that this is a thorny problem, there is currently a moral and political reformulation of the question of whether we are to establish a connection with regard to these animals between their cognitive characteristics and their moral status. That is to say, we are debating about whether or not these "intelligent" animals have rights in virtue of this feature of intelligence which is so "human" and, therefore, accordingly, we also debate about whether or not humans have obligations towards them.[5] The publication of *The Great Ape Project: Equality Beyond Humanity* by Paola Cavalieri and Peter Singer (eds.)[6] in 1993 has unleashed since that moment a controversial defence of their rights, a call to our moral responsibility towards them and the care for their lives and habitats, as well as a series of political proposals to be adopted once our responsibility towards living beings now seen as very similar to us, that is, seen as "human" or "almost human": while some defend the need of taking this step, others do not concede that it may be spoken of rights of non-human animals. The argument which the latter fall back on is this: only subjects may have rights, understanding under "subjects" those which possess freedom to control their instinctive behaviour.[7] Therefore, non-human animals, intelligent as they may be, neither have any rights nor are they included in the domain of our moral obligations. The only thing we will be able to do then, is to behave regarding them in a civilized manner, an attitude of mercy, of secular mercy, beyond all ethics and all normative in the form of laws.[8]

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[5]About this matter, I have stated my point of view in the essay: "Los derechos de todos los seres vivos a la luz de la fenomenología."

[6]London: Fourth Estate Publishing, 1993.

[7]Evidently, the prejudice that in non-human animals – making no distinction among them – there is only "instinct," preset behaviour, underlies this argument.

[8]With regard to this line of argument, which has had Fernando Savater as one of its spokesmen in my country, in controversy with Jesús Mosterín and Riechmann, see María-Luz Pintos "Los derechos de todos los seres vivos a la luz de la fenomenología."

Another difficulty with this procedure of starting from the difference to then focus on some "human" attribute that we may also see in non-human animals is the utilitarian attitude of Jeremy Bentham, or even that of Peter Singer. For utilitarians, law and ethics are not related to rational intelligence or to freedom, but directly to happiness, to well-being. Law has the purpose to protect interests, achieving well-being and preventing suffering. The issue of non-human animals is not whether they can reason in a way more or less similar to ours, or whether they can communicate through symbols as we do, etc., but that of whether they can suffer. This is the feature which has privilege for this ethical position. Can they suffer? Then, if they have the capacity to suffer as we suffer, they also have that of preferring a situation of well-being in their lives. And that is more than enough for us to be ethically compelled to refrain from doing anything which might cause them unnecessary suffering.

One of the difficulties of this posture consists in that, by drawing the comparison between human and non-human animals on the basis of the capacity for preferring a situation of welfare together with the capacity of suffering and feeling pain, it is being sustained that these capacities are by themselves sufficient to grant non-human animals a respectful, and careful kind of rational cognitive capacity treatment, without being necessary in them. However, since non-human animals are, in fact, cognitively very different to us (Bentham thought that they are neither conscious nor in possession of a sense of the future and, therefore, that they have no interest in continuing living), the difficulty which comes forward here – we follow Gary L. Francione in this matter[9] – is that we may continue to use them for our service, pleasure, benefit, etc., provided that we do not cause them more suffering than that strictly indispensable. These animals do not realize and do not care. In other words, this type of comparison on the basis of the capacity of feeling and suffering alone entails a double moral standard: on the one hand, the connection between cognitive capacity and moral status is rejected, but on the other hand, the alleged cognitive differences justify the use we make of non-human animals. And on the basis that we treat them as instruments for our service and benefit stands the fact that we continue to regard them as "objects" and thus as objects of our property.[10]

Thus, the choice of a human feature – whatever it is – to be previously privileged, so as to look for a similarity between humans and non-humans on its basis, involves difficulties. Difficulties which invariably conceal the issue of a non recognition of certain beings as "subjects," that is, their lowering to the category of mere "objects."

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[9]See Gary L. Francione *Animals, Property and the Law*, Philadelphia: Temple University Press, 1995; *Rain Without Thunder: The Ideology of the Animal Rights Movements*, Philadelphia: Temple University Press, 1996; *Introduction to Animal Rights: Your Chile or the Dog?* Philadelphia: Temple University Press, 2000; "Animals-Property or Persons?," in Cass R. Sunstein & Martha C. Nussbaum (eds.) *Animals Rights: Current Debates and New Directions*, New Cork: Oxford University Press, 2004.

[10]In "Los derechos de todos los seres vivos a la luz de la fenomenología" I mentioned yet another problem: since it is the sensibility of an individual that determines its capacity to appreciate suffering and well-being, the position of the utilitarianists implies that vegetables, which are beings not sensitive as animals since they do not possess a central nervous system, and therefore allegedly experience neither pain nor pleasure, have no interests, and, consequently, no rights either.

4 Why Speak of Non-human Animals from Phenomenology and What Motivates That Interest Today?

Apart from the general reasons given above about the need that philosophy seriously tackles the issue of non-human animals, there are other reasons, of great significance, which allow us, and simultaneously compel us, to approach this issue *from phenomenology*, and to do so with no further delay. The first of them is a double reason: Husserl's own attitude and the method he uses; and, reciprocally, our faithfulness to this Husserlian attitude and the phenomenological method he initiated.[11]

As we know, Husserl's attitude towards the historical, cultural and scientific crisis of his time was that of attempting to unveil the *prejudices* that had been imposing to our culture the misdirection he attests. The enthusiasm for scientific and technological progress initiated at the time of Galileo is guided by the ideal of dominating nature by means of our rational knowledge and by means of a scientific-technological domination of unstoppable progression[12] which rests on an "objectivist" interpretation of reality as a whole. "Objectivism" is the prejudice on which Husserl is to focus. He will focus on it once it is evident for him the "naive natural attitude" is a sort of biological mechanism that all humans have in common. We are all endowed with it and it is thanks to this sort of mechanism that every new human subject can become part of the *Lebenswelt* in which he has to live. Becoming part "naively" means assuming "cultural" *prejudices* and adopting "cultural" *habits* as if they were "natural" in regard to ways of believing, of valuing, and willing (I will come back to this later). The discovery of "objectivism" makes it evident to Husserl that there is a need to take distance (*epoché*) from it, due to its nefarious theoretical–practical consequences on the lives of subjects. As Husserl denounces, "objectivism" is conjoined with a contempt for the "subjective," for the living subject, for the personal subject. In such manner that scientific and technological progress ends up being, without remedy, a domination of one another and thus deviating from the ideal of rationality with which our culture was born in the Greek age. The notion Husserl has of the philosophy of this age is that it was in accordance with that objectivist interpretation of our lives. It was – so he said – a "philosophy of decadence" (*Verfallsphilosophie*) because "philosophy of decadence" is "that which serves as a quasi-justification to this humanity of progress,"[13] that is, to this ill humanity. It is therefore that to this kind of philosophy is to be opposed another, ethically healthier one, – a *new philosophy* – which describes the situation, performs a reflective analysis of the situation looking for its causes, unveils

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[11]It is about doing with non-human animals what Lester Embree so accurately calls a "continued phenomenology."

[12]In the *Beilage* X of *Die Krisis der europäischen Wissenschaften und die Transzendentale Phänomenologie*, Haag: Martinus Nijhoff, 1954, p. 426 <40–43>, Husserl points out that "the enthusiasm for [scientific-technological] progress, the ideal of a domination of knowledge over nature liable of fulfilment in an infinite progression and, hence, of an increasing technical domination up to infinity." From now on, this text will be referred to as *Die Krisis*.

[13]*Die Krisis*, Beilage X, p. 427 <6–8>.

and denounces the prejudices that have been leading us to this malpractice and, finally, which lays a solid foundation in order to educate towards a transformation (to educate in new ideas, in new values and in a new behaviour). A philosophy, as he indicates "of the ethos of authentic philosophical self-responsibility"; that is, of "a necessary, highly responsible reflection on that to which man, as an autonomous being, [as] a responsible being, is duty-bound."[14]

If we turn our gaze back to our issue, we realize that the prejudice of "objectivism" which Husserl had denounced, is not only submitting humans to a "reification" and "instrumentalisation" against which it is necessary to struggle at a phenomenological level. This same prejudice of "objectivism" must also be discovered and denounced with regard to our relationship with non-human animals. And, in order to do so, we will act as "phenomenologists," that is, reproducing in ourselves the same Husserlian attitude and method and, at the same time, we will carry our attention even "beyond" that on which Husserl more directly focused (the human being) in the face of the advance of the "objectivism" of his time. For this, a fundamental question that we must pose to ourselves today as phenomenologists is whether both the belief that non-human animals are so "different" from us, and the belief that they are mere "objects" really have any fundament. Because it might be the case that we have been dragging *prejudices* from outside phenomenology, that is, unfounded prejudices which it is now time to identify and leave behind.

It is not indifferent to recognize one status or another in non-human animals. And this is a second good reason to address the issue of non-human animals *from phenomenology*. If they are "subjects," then non-human animals are not so different from us humans, contrary to how it has always been thought in the West at a theoretical level and to how we continue to think in view of our current behaviour towards them when we treat them generally as mere "objects" for our use and abuse. If they are also subjects, that is, if they are not so different from us at an ontological level, then … they are all the less our inferiors. Therefore, they deserve a treatment as dignifying as the one we grant ourselves, humans. The interesting point in this issue is that we will only achieve a change in our *way of behaving* with animals if we begin to *value* them in another way; and we will only attain this new way of valuing them when we have a new and different conceptual idea of them. They are changes linked to each other.

This chain of changes leads us directly to one of the core notions in the thought of Lester Embree. According to him, all "vital" attitudes of humans always involve: (a) certain beliefs of a cognitive character (*believing*), (b) valuations of an affective type (*valuing*), and (c) willing to act, a will of acting (*willing*) together with the burden of experience and the concrete actions of the individual.[15] Embree fuses his

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[14]About this Husserlian idea, see María-Luz Pintos "La gran aportación de la fenomenología husserliana para el mundo de hoy," *Escritos de Filosofía*, Buenos Aires, 43 (2003) 125–156, and María-Luz Pintos "Los Anexos XXV–XXVI–XXVII–XXVIII al parágrafo 73 de *La crisis* de Husserl," *Investigaciones Fenomenológicas. Revista de la Sociedad Española de Fenomenología* 5 (2007) 85–123: http://www.uned.es/dpto_fim/invfen/invFen5/3_Mluz.pdf

[15]Lester Embree. *Reflective Analysis. A First Introduction into Phenomenological Investigation*, Morelia, México: Jitanjáfora, 2003. See Introduction and Chapter IV: "Willing, Valuing, Believing."

thought with that of Husserl here, and, since this is an idea which is elaborated insistently throughout his texts, he achieves to give diffusion to it. This idea, as far as I know, has never been sufficiently emphasized and profited by Husserlians until he recovered it for all of us. Embree has achieved to recover this Husserlian idea and turn it into the core of his own thought; and, simultaneously, it serves those of us who are listening as an extremely valuable conceptual tool in our phenomenological analysis applied to the most diverse topics.

Concretely, the consequence we can draw from this to apply it to our issue is that only if we get to change (a) our *concept* of non-human animals will we be able to substantially contribute, from philosophy, to change the anthropocentric notion we have about ourselves. This will contribute to our beginning to *see* and to *value* non-human animals in a different manner. And this double change, both conceptual (a) and valuational (b), will then be able to lead us to modify our (c) *praxical acting* and our speciesist laws and customs regarding them. To further put this in Embreean terms, the "vital attitude" involved in our "encounter" with non-human animals could be modified and become a non-anthropocentric, and non-speciesist one.

And this is the task of any philosophy and very specially that of Husserl-inspired phenomenological philosophy. In my view, *phenomenological* philosophy is probably the best suited to provide the intellectual resources to *found* this triple change in a solid, rigorous and evident manner, as we shall see. In order to do this, it is necessary to begin with revising, and, undoubtedly transform our prejudicial belief that non-human animals are not subjects.

However, before we get to it, let us address the question of whether the texts of Husserl himself can be of aid in this reflection. The thesis I defend is that they can help, since in Husserl we have not only good grounds for this, but, what is even more, he offers a whole ecological message of an astoundingly daring character, which can today be a true *model* for us to discover and follow: *his texts offer the foundation, at an ontological level, of a conduct of mutual respect among humans-with-humans and also among humans-with-non-humans*. We know that the application of phenomenology as a method allows to apply this method to topics which Husserl did not get to tackle "directly." And this may be our case: as far as I know, Husserl never wrote any text with an openly "ecologist" purpose, or any text explicitly dedicated to the need of treating all lives with equal dignity, including the lives of non-human animals. But, notwithstanding this, he has left us no less than texts and more texts *laying the foundations of a new attitude* – an ecologist attitude. The new phenomenological interpretation he promotes leads to this *new attitude* and can lead to no other. And as far as I can see, it is the most radical and committed foundation of all which exist in philosophy.[16] On the other hand, it is comprehensible that perhaps not even Husserl himself was entirely aware of the consequences and applications in the ecological field of that which he was discovering, because in the extremely delicate historical, socio-political

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[16]Let us not forget the assertion by Husserl, in his maturity, that he, an alleged reactionary, was in fact "much more radical and much more revolutionary than those who presently express themselves verbally with such radicalism." "Die Krisis des europäischen Menschentums und die Philosophie," Ergänzend Texte in *Die Krisis*, p. 337 <16–18>.

and cultural-scientific situation which always accompanied his philosophical production (right before the Great War of 1914, during the Great War, the post-war period, and the prelude to the Second World War), the ecological preoccupation – in which the preoccupation for non-human animals is included – could not be the main or most urgent matter to be thought about. However, although Husserl did not intend to produce a treatise specifically oriented to non-humans, his analyses of living corporality suppose in fact a new attitude from which we can profit in order to directly apply it to non-human animals.

And it is true that his message, declared in his texts, and repeated here and there time and time again, has an astoundingly daring character for the time during which he lived. But what should not surprise us, at these heights, is this message being one of the core aspects of Husserlian theory. Perhaps what has happened to us with Husserl's texts during the past 100 years is that we were reading them according to the parameters that best befitted the most immediate philosophical preoccupations during all this time. But today, at the beginning of the twenty-first century, we are at a different stage in history and we have other new concerns: for example, that our Planet is very badly wounded, with all of its living inhabitants seeing their habitats endangered or already extinguishing as a species; and it is hence that we are at a time like never before when "ecologic reason" is forging a path for itself against "objectivist reason," "scientific-technical reason," "instrumental reason," or whatever we wish to call this paradigm that has been guiding Western culture for over two centuries, in a triumphant path that is simultaneous to another of non-solidarity, barbarism and destruction. This Husserlian message to which I want to give a voice here is in his texts and has always been in them, waiting for us to hear it.

5 Phenomenological Recovery of the (Animal) Subsoil of Subjectivity and "Animal Ontology": A Solid Foundation to Invalidate Western Prejudices About Non-human Animals

The Husserlian way to address the issue of animal life supposes a *new scientific attitude.*[17] This new scientific attitude consists – and these are his own words – of a new attitude "towards humans and towards animals"[18]: regarding both one and the other, the new attitude consists in considering that they are not psycho-physical realities, but that they are all *living* beings with a *living bodiliness* (*Leiblichkeit*) – which is

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[17]A new attitude which he initiates in philosophy at the beginning of the twentieth century, *in convergence with* that which was being initiated in many human and bio-social sciences of the time, such as Linguistics, History, Zoology, Psychology, Neuropsychiatry, Geography or Anthropology. See the essay by María-Luz Pintos "La Fenomenología y las ciencias humanas y bio-sociales. Su convergencia en un importante momento de cambio de paradigmas," *Revista Philosophica*, Valparaíso-Chile, 27 (2004) 215–245.

[18]"Naturwissenschaftliche und Geisteswissenschatliche Einstellung. Naturalismus, Dualismus und Philophysische Psychologie," Ergänzend Texte in *Die Krisis*, p. 310 <22–23>.

proper to all animal corporality. And the matter is that out of such lengthy consideration of whether or not non-human animals have, and to which extent, rational intelligence or any other feature that we consider beforehand to identify humans, and after focusing so much on non-humans and proving in a thousand ways that there is an unfathomable *aprioristic* distance between us and them, *we have been forgetting something absolutely basic and undeniable: that they are, above all, "living" beings, that is, "operating" beings with their "bodiliness."* This is what we shall examine as follows.

Let us, then, start from the acknowledgement of this forgetting – a forgetting from which many others derive. And we will call this "forgetting," but knowing that with this formula we are referring to what is actually a very Western *prejudice*, although it acquires a more extreme form after the Galilean mathematisation of nature as a whole: the prejudice of "objectivism." It is "objectivism" that carries along this forgetfulness, as Husserl repeatedly warns, for example in *Ideen II*, perhaps the essay that most minutely probes into *animal* nature, both human and non-human. And, as it is required by the phenomenological method, let us make an effort to set this prejudice aside (through *epoché*).[19] This effort implies walking backwards, avoiding all those scientific interpretations about the animal (human or non-human) which contemplate it exclusively as "thingly" nature (*Körper*) with the double end of making an *object* of scientific-naturalist research out of it and, perhaps, of instrumentalising it as an *object* to the benefit of the human species.

While different thinkers intervening in the debate on non-human animals try to found a change on our treatment of non-humans starting from the belief in the *essential* and originary difference between human and non-human animals, and while they fundamentally base in rational capacity or any other humanly identifying feature, the procedure of phenomenology – which we receive from Husserl himself – is very different. The phenomenologist finds an *ontological* – and not empirical – foundation from which the necessity of a change in our attitude towards non-humans ensues by itself. And this ontological foundation is obtained by going to what is the originary core of animals: their living bodiliness. This is the most primal essence of all animals, be they human or non human. Once discovered, the following step is to describe it. And it is precisely this discovery and this description, together with the change of attitude towards animals which this supposes ("phenomenological," and no longer "naïve attitude,") which constitutes the legacy of Husserl, for us now to introduce in the debate on non-human animals, with a contribution which might help to overcome entrenched prejudices, and could therefore aid to overcome the situation of stagnation to which we had made reference above with regard to this debate.

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[19]In his self-reflection, says Husserl, the philosopher must "develop a *responsible critique*." "To think by oneself, to be an autonomous philosopher with the will to release oneself of all prejudices, this demands of one to bring the fact to consciousness that everything that is held to be objectivities is prejudice, that all prejudices are obscurities which come from a traditional sedimentation." And this "is valid for the grand task, for the idea that is named philosophy" *Die Krisis*, § 15, p. 73 <16–20>.

In effect, for Husserl, there are inanimate, merely material *things*, that is, "material nature," and there are *bodies*, living bodies – among which are animal bodies – that is, "animate nature."[20] Both for human and non-human animals, the body is then not simply material thing (*Körper*), but living bodiliness (*Leibkörper*). It is therefore that Husserl says that it is not viable then to classify the body as another member of the thingy nature, of the material world.[21] No; the bodily body of human and non-human animals is an animate body, he says.[22] From which ensures that *this "animic (seelisch) body" is the originary starting point that all animals have in common*.

As a consequence, this ontological foundation which we may obtain from Husserl and that may push the current debate on non-human animals forward by contributing to enhancing the evidence of that it a change in our way of treating them is necessary, achieves two important contributions. The first contribution is that by considering human animals above all as *living corporalities* (*Leib*) a new concept about them is immediately generated: they cease to be merely "psychophysical realities" and come to be regarded as "subjects." It is paradoxical that, whereas we have so many qualms today at the time of applying this definition to non-human animals, Husserl, as we shall see, does not seem to have any qualm to do so. The second contribution by Husserl is that, when placing the primal core of non-human animals in the animic corporality, and just as he does with human animals, nothing less is established than the fact that *before* all the multiple empirical differences that we might have between ourselves (human animals among themselves, non-human animals among themselves, and human and non-human animals between each other), there is a *common originary core* among us: the *animal* being.

But, what is to be an "animal"? What does "animality," that is, the subsoil of all subject, of all subjectivity, consist of? An animal is a being that has "life," a living corporality, as we pointed out before; animal is a living organism. As regards this, the difference with material things is evident: these are exclusively conditioned from without, they are realities with no history, with no past of their own, they can return identically in cyclical processes and in the same external circumstances they have been in, and there is no auto dynamism in them – we would now say – but they are only movable in a mediated manner.[23] Therefore, material things have no life. However, vegetables are living organisms, as animals are. To have "life" supposes for them to have a "psychical side" which allows them to "live." Vegetables are a "psychophysical" organism that lives in a "vegetative" way, as Husserl indicates.[24]

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[20]*Ideen zu einer reinen Phänomenologie und phänomenologischen Philosophie,* Zweites Buch, Haag: Martinus Nijhoff, 1952, § 12, p. 27 <26–27>. From now on, this text will be referred to as *Ideen II*.

[21]Ibid., § 41, p. 158 <4–5>.

[22]Ibid., § 14.

[23]Ibid., § 33, p. 137.

[24]See *Die Krisis*, § 55, p. 191 <34>; § 66, p. 230 <8–10>; § 71, p. 250 <19>.

But this which makes the difference between vegetables and material things also opens a distance between vegetables and animals as a whole: "men and animals are not merely (psychophysical) body,"[25] with a "vegetative" life.[26] Their defining property is of another sort: human and non-human animals are an "animic subject." Animal nature consists in being animate nature, that is, of having "soul." Psychophysical nature is the subsoil of the soul; a necessary material subsoil, of course, but that does not exhaust all that is the animal corporality, human and non-human. What follows from the whole of *Ideen II* is that both human and non-human animals have a "soul" and both are an "animic subject," although this is only an "analytic" distinction, since in fact "animic subject" and "soul" are not independent from each other,[27] and one and the other are intertwined with the animal body forming an inseparable union with it.[28] With the concept of "soul," Husserl seems to mean everything that the animal as such "can" do; to its own potentialities. With the concept of "subject," Husserl seems to mean that it pertains the animal to constantly live in egological acts (*Ich-Akte*)[29]; in this sense, the animal is for him "subject". For its part, the "soul" makes reference to the animal as an *I-unity*, and this supposes an animic life as a stream of life-experiences (*Strom von Erlebnissen*).[30]

And then, this is the basic animal substrate of all subjectivity (supported in turn on the psycho-physical material substrate); the substrate which makes it possible for the animal to be a "constituent" subject or, to put it in unequivocally Husserlian terms, that which makes it possible for the animal to be a *transcendental*

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[25]"Die Krisis des europäischen Menschentums und die Philosophie," Ergänzend Texte in *Die Krisis*, p. 340 <13>.

[26]This is certainly no "absolute" distance, but we can also find an "originary point in common" to both animals and vegetables prior to many and large differences – sometimes favouring ones and sometimes favouring others, no doubt – although this is not the space to unfold this matter and to do so in the phenomenological manner basing on the hints given by Husserl. I have an unpublished work on the subject, and I must confess that at the moment of preparing it I received great encouragement from Lester Embree himself, who does have an essay referred to vegetables: "The Problem of the Constitution of the vegetable," published in German – "Die Konstitution des Pflanzlichen," in Hans Rainer Sepp/Ichiro Yamaguchi (eds.) *Leben als Phaenomen*, Würzburg: Koenigshausen and Neumann, 2006, pp. 200–214 – and which is also part of his book *Ambiente, Tecnología, Justificación*, in process of publishing.

[27]*II*, § 32, pp. 134 <34–40>.

[28]The human subject as animal, says Husserl, is a concrete unit of body and soul. That is, Husserl is not saying this of the human subject as if it were its exclusive characteristic qua human: the possession of a soul intertwined with its body. A living animal being, qua animal, is by itself a bodiliness with a soul. See, Ibid., § 33, p. 139 <17–18>.

[29]*Die Krisis,* § 66, p. 230.

[30]"The animic subject … is referred to conscious life-experiences in such manner that it has them, lives them and lives in them." *Ideen II*, § 30, p. 121 <24–30>. "The soul is not a "manifold" of life-experiences of consciousness, but the *real* unity which manifests itself in them," *Ideen zu reinen Phänomenologie uns phänomenologischen Philosophie*, Drittes Buch, Haag: Martinus Nijhoff, 1952, § 3, p. 19 <15–17>.

subjectivity.[31] It is hence that Husserl speaks of the "biological a priori."[32] The "biological a priori" is not the *Körper*, the body of purely physiological reactions, but the *Leib*, the bodiliness that, as living, is perceptive-practical. This bodiliness acts as a biological pre-reflective mechanism of sense-constitution. Each animal, both human and non-human, be it evolutionarily simpler o more complex, comes to the world with the capability of constituting sense; a "pre-rational" sense (that is, not requiring the use of intellective reason). On this basis, no animal, with its animal bodiliness in continuous perceptive-practical interaction with its *Umwelt*, lives in chaos, but is rather, even though in some cases at an extremely simple level – simple from our perspective, yet sufficient and successful for the animal itself – always capable of giving or positing sense to its environment and, simultaneously, of organizing its own activity with sense; or what is the same, it is capable of "understanding" this environment in some (pre-rational) way and of coherently acting with relation to it. There is no animal that is not capable of *pre-reflectively constituting the sense of the world* in which it lives, by perceiving it and constantly interacting with it with sense. Our animal nature requires this kind of biological mechanism of (pre-rational) creation of sense to avoid chaos, i.e. to avoid the lack of adequate response to the environment, and consequently non-survival and death. This biological mechanism of sense-constitution is what makes all living-bodily-perceptive-operating (practical) animal to be a transcendental subjectivity, in the most pure Husserlian sense. And this biologic-transcendental mechanism is present in all animal species independently of whether "some" of them achieve to "rationally" organize their activity and provide sense to their environment. In this case, this "rational" sense-bestowal is a retraction to the originary pre-rational constitution, as a "surplus" that does not nullify the latter, and is never functional from the onset of the life of the subject and without a cultural learning to mediate. The pre-rational sense-constitution is primal, spontaneous, and universal in all animal species, whereas the rational is constructed, not spontaneous, mediated and pertaining only some species.

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[31]For example, at the beginning of § 39 of *Ideen II*, Husserl speaks of the pure or *transcendental* I and points out, that in it are to be distinguished, on the one hand, the soul or animic subject (which he will later distinguish from each other) and, on the other hand, the respective body, be it human or animal. The Husserlian idea that animals too have their transcendental, that is, *constituent* facet, has been analysed in Javier San Martín "La subjetividad trascendental animal," *Alter* 3 (1995) , in Javier San Martín, María-Luz Pintos "Animal Life and Phenomenology" en Steven Crowell, Lester Embree & Samuel J. Julian (eds.) *The Reach of Reflection: Issues for Phenomenology's Second Century*, Center for Advanced Research in Phenomenology, www.electronpres.com, 2001, and in María-Luz Pintos "Humanos, inhumanos e non humanos. Fundamentación fenomenolóxica da conexión interespecies," in Pedro M. S. Alves, José Manuel S. Santos & Alexandre Franco de Sá (eds) *Humano e Inumano. A dignidade do homem e os novos desafios*, Lisboa, Phainomenon, 2006, pp. 253–263.

[32]For example in the Beilage XXIII of *Die Krisis*, p. 482, footnote number 2: "… ein biologisches Apriori vom Menschen."

It is evident that this matter is of extraordinary importance in relation to the issue of non human animals and the ongoing debate about them. The pre-reflective sense-constitution (of which I shall now speak in greater detail), being a "biological a priori" which pertains to *animality* or the animal essence, binds us and relates us to all animal species in an *originary* manner. We all animals are equally, biologically (*transcendentally*) constituents of sense at a pre-rational level, and are unable to cease to be such, be it not for a congenital or acquired abnormality. Therefore, what Husserl's texts offer us is the exhibition of a natural, biological, *originary* bond, interconnecting us all-animals-with-each-other. Whether we know this "rationally" or not, whether we want to acknowledge it or not, and whether the species in question – evolutionarily speaking – be more simple or more complex, there is a large fact which seems to be evident and irrefutable: if we all animals share being living perceptive-operating bodilinesses, this which we share bonds us animal species so originarily to one another that we, all together, form what we may consider a great animal connection the *originary animal interconnection*. And this is *originary* because it is previous to whatever difference there may be between species, and also between individuals of one same species.

In consequence, from the phenomenological perspective, *in the originary and transcendental plane of our animal lives, there are no substantial differences; but there is rather something commonly shared: that all animals are a sense-constituent subjectivity*. At the empirical level, however, what sometimes stands out are differences, small or large: having the body of a gazelle, of a spider or of a dolphin, having colour or monochromatic vision, walking bipedly or quadrupedly, eating food in their natural presentation or cooked, having an oral symbolic language or not having it, having the body covered in scales or hair, being able or knowing how to perform a mathematical sum or not being able or knowing how to perform it, having claws or webbed feet, being one racial type or the other, being a politically "progressive" or "conservative" human being, being barely several inches large or having a massive body size, etc. In the empirical plane, when we observe the map of animal species and, within the most complex, when we compare groups of individuals or individuals with each other, it is almost all about differences; innate or acquired differences of all kind. Hence the importance of recovering the originary level of transcendental constitution – the ontological level – because within it, even though some animal species are simpler and other more complex, all of their individuals are, to whatever extent (pre-rationally) *constituent*.

The phenomenological recovery of this level is achieved by means of an ontology of animal life. It is this that can enable us to exhibit *the basic structures of animal life shared by all species*.

An ontology in the phenomenological style requires that the phenomenologist goes to the "world of experience." And, as Husserl points out in *Krisis*, it is about going to it to ask about the "invariant worldly-vital structures"[33] of all subject in its normal life that is integrated in its world, in its life-world. But a question arises here. Which "life-world" do we mean when we say we will produce an ontology of *animal*

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[33]*Die Krisis*, § 51, p. 176 <22>: "Lebensweltlich invarianten Strukturen."

life, that is, an ontology that gathers and describes the invariant structures *common to the life of "all" animals*? The issue looks complicated enough if we confine ourselves to human animals alone. As we know, the human world, our specific *Lebenswelt*, is the concrete human cultural world of each time and place: the Chinese culture of such or such time, the North-American culture of such or such time, etc. If our *Lebenswelt* is concretely each and very one of the cultural worlds there has been, that there are now, or there will be in the future, the question is, how is it possible then to speak of "invariant" and "shared structures" between human cultures which are different from each other at ontological level. This is indeed possible. All concrete life-worlds of the human species have something in common: since human culture is symbolic sense, hence they are all equally "worlds of symbolic sense," "cultural-symbolic life-worlds," which are all the creation of generations of symbolic-rational human subjects. The fact of the matter is that, regardless of how different human cultures may be, they are all "worlds of symbolic sense," and, different as human subjects may be they are all "symbolic sense creating" subjects. However, the crafting of an ontology of our human life-world is not referred to human subjects as "rational" beings nor to concrete human cultures. A phenomenological ontology of the invariant life-worldly structures gathers and describes how the subject, in his encounter with the world, constitutes the *lived* sense of the world, but does not describe how the subject gives rational-symbolic meaning to the reality that surrounds it, with a prior process of cultural interiorization. Therefore, these invariant structures to which Husserl makes reference are not the structures of the empirical, visible level of the rational-symbolic-cultural network that we humans "construct," but they are the originary and pre-rational structures, which are conditions of possibility for this "construction" of rational-symbolic-cultural sense. That is to say, in a phenomenological ontology of the human life, what is discovered, described and analysed is human subjectivity as "constituent" or creator of sense to a much more basic, prior and foundational level than that of reason: at a pre-rational level which is linked to the human subject as *living bodiliness* (*Leiblichkeit*) tout court. The very biology of the human subject already bears this constituent potential, and it is the task of phenomenological ontology to describe it in its invariant and universal features in relation to all human subjects as existent in the concrete *Lebenswelt*.

Now, how is a generic, and not only human animal ontology possible? Thanks to Jakob von Uexküll, a zoologist contemporary to Husserl, we know that all non-human animals also live in their specific vital surrounding world (*Umwelt*[34]), which

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[34]The similarity of ideas and concepts between Husserl in Philosophy, and J. von Uexküll in Biology and Zoology is evident. Von Uexküll proposes to abandon the positivist paradigm of the nineteenth century and recuperate the animal, human or non-human, as a bodily-perceptive-operating subject, connected to its Umwelt or vital world proper to the species to which it belongs. It is the animal that interprets, "from itself," that is, subjectively, everything it perceives, thanks to a sort of "functional circle" between it and its perceived world which reminds us of Husserlian intentionality: the meaning of the world is only meaning for the subject that is perceiving it, and both subject and world form an aprioristic, living noetic-noematic correlation. For an exposition on this similarity between von Uexküll and Husserl, see María-Luz Pintos "La Fenomenología y las ciencias humanas y bio-sociales. Su convergencia en un importante momento de cambio de paradigmas."

is the world of experience peculiar to their species and to their own subjective perception.[35] There necessarily has to be certain invariant structures common to all of these non-human worlds and to the animals that constitute or create the sense of their worlds. We can thus try to "sketch" an *ontology of animality* here.[36]

Animal ontology attempts to discover and describe these invariant structures which are common to every animal species, with independence of the concrete *Umwelt* or *Lebenswelt* where each of them lives. As far as has been expounded here, the following two structures have been mentioned as common and pertaining to "animality": all animals live in I-related acts (*Ich-Akte*) and we are all subjects qua subjects capable of giving sense to the world in which one lives.

Effectively, all animals "constantly live in acts of an I,"[37] the animal has I-related acts, moves its body by itself ruling in it as an "I," and as an "I" which actively interacts with its world. As simple as the animal may be, its being the subject of its acts cannot be absent, an "I-subject." If directed towards a thing, it is "him" – and none other, or nobody – who is directed towards such thing; if the animal raises its head, it is "him," as an "I," who is at that time the "I-subject" of raising its head. The body is freely moved by an I; the I is the subject of its perception and of its free movement.[38] And it is such as an "I can" move-freely. An ant that is walking finds a stone as a sort of obstacle, and it is "it," and from its own "subjective" perception of the situation, that decides to avoid it to the right side or to the left, or to walk over it. Therefore, even if it is an animal with a very strong instinct, regardless of how great an effort the behaviourists make, it will never act totally as an automaton. An example given by J. von Uexküll himself: when a dragonfly that is flying around decides to land, it is "it" that "subjectively," and therefore as an "I-subject," looks at a determined branch and decides that that branch at that moment – and not that other one, nor that wall close by – is a good place to land. Not only the animal which is endowed with the power to make a "rational" decision and act in accordance with a "rationally premeditated" project towards a goal is "subject of will." The "bodily ruling" (*walten*) has nothing to do with consciousness, reflection and rational premeditation, but rather consists in all animal spontaneous and pre-rationally being able to control its perceptive-motor movements, providing them, from itself, with an orientation with sense towards a goal, without need of having awareness neither of itself nor of what it is doing at each moment. This orientation from itself as an I-subject is possible, in the first place, because animal experience,

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[35]As far as we know until now, this non-human vital world is a "cultural" world – in whatever measure – in species such as dolphins, killer whales, gorillas, chimpanzees, bonobos and orangutans.

[36]Only "sketch" or "announce" because I have no room for more. However, as I have addressed the features which compose this animal ontology throughout my essays, I will refer to them as I advance, in case a more detailed analysis is desired.

[37]Unlike plants, who only live in a vegetative manner, animals live "constantly in I-related acts," says Husserl in *Die Krisis*, § 66, p. 230 <7–10>. Men and animals – he says – are "living beings of the I kind." *Cartesianische Meditationen*, Haag: Martinus Nijhoff, 1950, § 44, p. 126 <37–39>.

[38]See *Ideen II*, § 22, p. 97; § 41, C, pp. 159f; § 53, p. 208; § 54, p. 212; § 62, p. 284. And see *Cartesianische Meditationen*, § 44, p. 128 <5–27>.

just as the living bodiliness (*Leibkörper*) that it *is*, its own somatic body, which it feels as its "own," even without getting to thematize it: if a dog loses one of its front legs, it will attempt to walk looking to maintain balance, but it will attempt that balance because it, the "I-subject" of its body, is (pre-rationally) becoming aware that the standing point it once had is missing In second place, this orientation is possible due to the identity of the subject with itself.

As we said above, with the concept of "soul" Husserl mentions that the animal has an animic life as a stream of life-experiences – stream of life-experiences that form a unity with its body. Animic life-experiences always suppose a present, a before and an after and, therefore, are inserted in an unitary temporal stream. Whenever the animal is perceiving an object and acting upon it, this object is an object for that subject, and with the temporary sense that it gives it when perceiving it within a halo of implications and references which it carries along with itself internally in its stream of life-experiences. A cat sees a nest of birds from the lower part of a tree. This perception of the nest is for him within a temporal horizon: this present perception of the nest, from below and from outside of it, implies – to it, and due to its past experiences regarding nests – a reference to the inside of the nest, which it does not actually see, and to the little birds which it *anticipates* are in it.[39] But the internal temporal stream supposes something else as well: the capacity of the animal subject to "temporalize," that is, to create time, to create temporal sense, since, for living animals, time is "qualitative" before being "quantitative": to a very hungry animal searching for its prey, the time elapsing before it catches it is "too long." To a human who has been travelling from Palm Beach to New York twice a week for years, the "three hours" which the trip lasts according to the "quantitative" measurement of our clocks, are perhaps lived as "a very short time" by him due to routine. Therefore, all animals "create temporal sense," even if it is in a very basic level corresponding the possibilities of each species.

Likewise, all animals, with no exception, "spatialize" or "create spatial sense." This is a capability which is absolutely linked to biology itself. No living being may be bodily de-located, but is always in the concrete situation of its bodiliness. This makes all animal to be, for itself, the "zero point" from which it will perceive all things that surround it. It is a biological mechanism which enables it to survive: the mechanism – let us consider it as such – which enables the animal to create spatial sense from how it lives it: from its "here," some things will be "there," in relative proximity, and others will be "over there," far or very far away, up or down, behind or in front, to one or another side of "its" body. If it were not for this map or lived "spatial horizon" that the animal creates from its own "zero point," none of them would be able to organize themselves at a survival level, by "turning to" a given object which (he pre-rationally knows) is "there" – forging de-severing "paths," reducing distances – or fleeing from something by making the distance larger and larger.[40]

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[39]See María-Luz Pintos "Fenomenología del objeto vivido frente al olvido del objeto-para-el-sujeto por parte del 'objetivismo' naturalista," in *Duererías. Revista de Filosofía*, Zamora-Spain, 4 (2004)135–158. I analize all the aspects related to it here; they are all part of the animal ontology.

[40]See María-Luz Pintos "¡*Espacializamos*! Fenomenología del *espacio vivido* frente al 'objetivismo' naturalista," *Alfa. Revista de la Asociación Andaluza de Filosofía,* Jaén-Spain, 15 (2004) 17–39. I further analyse this issue here.

All animal is always being affected by its environment to a certain extent and, in turn, to a certain extent, it will respond. This response is primarily *valuative*. Valuative with respect to the following: (a) Any animal is affected by what surrounds it and feels attraction or rejection for what is around. When feeling this "drive" to that attractive thing (to it), it is "bestowing (pre-rational and immediate) sense to it" that it is "good" (for it) and only thanks to this impulse it will be driven to come closer to and benefit from this thing in order to survive. Likewise, it is already "giving the sense" to the repulsive thing it rejects that it is "bad" (for it), and this very "drive" to stay away from this thing is what will enable the animal to flee from peril in timely fashion.[41] (b) For any animal, the reality which it finds before itself is always an "interpreted" reality. The material a bird gathers when building its own nest is not mere "physical reality" to it, but "suitable material for building its nest." (c) Any animal interprets and values by itself the elements of its surroundings by making concrete decisions regarding them – decisions which, as we have said before, cannot be but the fruit of the moment and, therefore, are never wholly determined by genetics.[42] (d) Things are simultaneously things-to-perceive (*Vorhanden*) and things-to-handle (*Zuhanden*) to the animal subject, that is, when perceiving them, it is already enveloping them in their "what they are for," their being "useful" for this or that. That is to say, the objects that form part of any animal's vital world are never pure things (*Vorhanden*), they are not only what they are materially speaking, but are that "which they are for" (*Zuhanden*) within the horizon or situation where the animal finds itself at each given time. All of the things any animal comes across are always (pre-rationally) lived by it in an immediate manner, as "functional objects." The surrounding world where every animal, simple or complex, lives, contains no "objective" realities, pure physical things. The things surrounding the animal are always given to it perceptively lived by it with connotations of (functional) activity, with those connotations which they have for the animal (for it).[43]

We have yet another great main axis in all animal lives, simple or complex. Being a living bodiliness (*Leibkörper*) supposes having *outward expressions.*[44] It may be a simple movement of the body or one of its parts that goes unnoticed to other species, but the fact is that any living being is expressive, in whatever degree. Having this capability and, at the same time, this need to express, is consubstantial

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[41]I analyse this issue in greater detail in "Fenomenología de la corporeidad emotiva como condición de la alteridad," lecture presented at the VIII International Phenomenology Congress, University of Valencia-Spain, in October 2006 (in print).

[42]For a broader treatment of this subject, see María-Luz Pintos "La Fenomenología y las ciencias humanas y bio-sociales. Su convergencia en un importante momento de cambio de paradigmas," pp. 229–236.

[43]For a broader treatment of this subject, see Lester Embree "Un comienzo para la teoría fenomenológica de la etología de los primates," *Escritos de Filosofía*, Buenos Aires, 45 (2005) 145–160. See also Lester Embree "La constitución de la cultura básica," in César Moreno Márquez & Alicia M. de Mingo (eds.) *Signo. Intencionalidad. Verdad. Estudios de Fenomenología*, mainly pp. 349–355.

[44]For a broader treatment of this subject, see María-Luz Pintos "Fenomenología del cuerpo como expresión e interpretación," in Jorge V. Arregui / Juan A. García González (eds.) *Significados corporales*, Málaga-Spain: volumen monográfico de *Contrastes, Revista Internacional de Filosofía*, 2006, 127–145.

to animal life and a common feature to all of it. This implies that we are always, to whatever measure, we are intercommunicating: both between members of one same species and between the members of different species. And this also implies that, to whatever extent, there can always be a certain understanding among us of the meaning corporally expressed by another. This happens because, as co-inhabitants of this same planet, it is completely inevitable that there are encounters and interaction between one-another. Therefore, we all necessarily possess a biological mechanism for knowing how to interpret and (pre-rationally) understand what other animals are expressing with their bodies,[45] because it is only this way that we can quickly react if, for instance, the other is preparing to attack us or if, on the contrary, it has an indifferent, peaceful or even friendly attitude.

The living animal bodiliness is always expressive. Through it, all animals express themselves, communicate and, at least at an elementary level related to survival, make themselves understood by other animals and understands them in turn, of the same species or not. But no "rational" expression or understanding is discussed at this level, but a spontaneous biological mechanism, which functions pre-rationally to manage to (transcendentally, then) constitute the sense (of the attitude and/or situation) of the other one has before oneself. In the simpler animal species it would be exaggerated to speak of *empathy* (mechanism that allows a subject to have an experience of another, that is, to step in its place and live itself what the other is living and corporally expressing – not what the other is "cognitively" thinking) because for empathy to function, the mechanism of emotions must function simultaneously as well. It is not very clear that simpler species can have emotions. However, they are no less corporally expressive because of that, and as such, understood by other living bodilinesses they encounter.

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[45]If every animal is endowed with a body that is all expression, then it has to be endowed as well with an ability to interpret and understand (in an empathic way) what other bodies express in its presence. And naturally, if the living body (*Leiblichkeit*) always expresses itself, that is because it is not born to be alone in the world but to interact in a perceptive way with other living bodies, both belonging to its own species and others.

In the essay "David Hume's Treatise of Human Nature In Light of Phenomenological Hermeneutics" (Inaugural Conference of Archive for Phenomenology & Contemporary Philosophy, Chinese University of Hong Kong, January 2006), Lester Embree, with Elizabeth A. Behnke, makes reference to Thomas M. Seebohn's statements on the animal understanding. It is that there is a bodily level of understanding, pre-linguistic, unreflective, in which all animal is when he carries out the practical activities. These activities are wrapped by him by an elementary understanding. In *Hermeneutics: Method and Methodology* (Dordrecht: Kluwer Academic Publishers, 2004 –HMM–) Seebohn states that in the animal understanding – human and non-human animal – there is a basic level of understanding based on "bodily life expressions." Accordingly, in humans, "elementary understanding is one-sidedly founded in animal understanding for the simple reason that human beings are living bodies with immediate life expressions and with the ability to react to the immediate life expressions of other bodies" (HMM 106). Elementary understanding itself "can be characterized in general as unreflective understanding within … a cultural lifeworld" (HMM 106). In contrast, higher understanding – which in its turn is one-sidedly founded in elementary understanding – "can be characterized in general as the understanding *of* the cultural context as a whole or of certain aspects *of* its structure representing wholes in themselves," and requires contemplation and reflection (HMM 106).

So, as I hope to have managed to communicate throughout these pages, I have two goals. The first is to unfold this argumentation in a succinct and incomplete yet sufficient manner so as to show a glimpse of how unfounded traditional prejudices about non-human animals are when we refuse to accept that they are "subjects" and when such a great essential difference is established between the human species and the rest that, starting from it, all similarities are always less important than this alleged originary difference. A (phenomenological) ontology of animal life shows that non-human animals are fully "subjects," even though they are not "human" or – according to Husserlian concepts – even though they are not "persons."[46] *Non-human animals do not need to be "human," to be "persons," in order to be "subjects."* Likewise, we humans can be "humans," "persons" only if we are already "animals," that is, if we are an animal animic bodiliness in which the subject rules (*walten*) egologically (*ichlich*).

As I have confessed in the Introduction to this essay, the current attempt to link phenomenology to the issue of non-human animals leads us directly to Lester Embree. I wish to dedicate these final words to him and to one of his main contributions. In his book *Fenomenología Continuada. Contribuciones al análisis reflexivo de la cultura*, after describing the four stages through which – according to him – the phenomenological tradition has gone since its onset, he says that "it seems that changes have begun to appear. In effect, we are today witnessing a certain emergence of specialized work; and this can be attested in aesthetics, ethics, politics and even in philosophy of science – especially in the theory of cultural sciences – as well as a continuous reflection on technology and interpretation, a renewed interest in gender and ethnicity, and in a novel interest in such subjects as ecology, interculturality and even non-human animals … because of all this – he affirms – there are reasons to believe that a fifth period of our tradition has begun."[47]

In order to better appreciate the relevance of Embree's assertion that we are today moving within the fifth stage of phenomenology, and that this stage is the one providing a framework for our issue of non-human animals, among others, allow

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[46]The "person" is not only the operating subject (I move something, I move myself), and is not only the subject of will ("I can" do), but the free subject, bound to reason: it is the thinking subject and the subject that can represent everything that it can and everything that it cannot to itself. The "person is the conscious subject of the free "I can." Therefore, the person is "responsible-for-itself." There is no doubt then, that with the concept of "person," Husserl means the attribute which distinguishes the human animal. As I explain in another essay, it is "responsible in the sense of being able to value and distinguish between true and false, between fair and unfair, between what ought and ought not to be done, etc.; and to be responsible also in the sense of not being exempt from making this kind of differentiating valuations." The human being is fully able to perform valuational and committed differentiations at all times. Being rational entails the responsibility of becoming aware, and valuing and deciding in consequence. This characteristic forms part of its essence as a species. Reason enables and compels the human being to be the ethical being par excellence. Its intelligence burdens it with this ability which is, at the same time, a great responsibility. See "Los Anexos XXV–XXVI–XXVII–XXVIII al parágrafo 73 de *La crisis* de Husserl," p. 102f.

[47]See Lester Embree "La continuación de la fenomenología, ¿un quinto período?," in *La fenomenología en América Latina, Bogotá*: Universidad de San Buenaventura, 2000, pp. 13–24, y see *Fenomenología Continuada. Contribuciones al análisis reflexivo de la cultura*, Morelia-México: Jitanjáfora, 2007, pp. 14s.

me to narrate to you what seems to be an anecdote, but in fact has a greater reach than a mere anecdote. This happened in November of 2000, in the University of Seville, Spain, on the occasion of celebrating the V Congress of the Sociedad Española de Fenomenología. The topic on which I had decided to focus my lecture was that of non-human animals, so as to analyse it from phenomenology, of course. In the previous days to the congress' celebration, I was rather scared of my "boldness." I was so scared that I had concocted the possibility that the organizers might reject my lecture when they knew, from the title, the issue I meant to discuss in it. In order to prevent this hypothetical rejection from taking place, I gave it a title which did not lead to suspect the concrete issue I was to speak about. I confess that I was not sure about having a very good reception among the public either. It was as if it seemed to me that the issue of non-human animals were breaking from the usual line of work within the orthodoxy of the phenomenological tradition[48] and that, such being the case, it would not be well received. Good fortune made that Lester Embree attended that congress! Back then, I did not know him, since at the time, before the OPO had been created, there was not much communication between Europe and North America. Embree read his lecture a day before myself. His lecture was about "The Constitution of Basic Culture." When making reference in it to what he called "phenomenology of culture," he made the following assertion: "as regards the environment, perhaps the opposition between human and non-human animals is now being replaced by an acknowledgement of animals in themselves, some of which are human and some non-human, and perhaps the traditional human willing and valuing is wavering at least in some aspects."[49] The relevance of these words was very important to me, since none less than himself was making reference to non-human animals naturally and from within phenomenology. Meeting him was, thus, very timely and revealing, as I am certain it could also be for many other phenomenologists who are immersed in investigations of this kind and have the doubts I had about my own work at the time. With Lester Embree I discovered that what I had been trying to do for a long time, when applying the phenomenological method to current-day topics,[50] not only was not a "marginal" investigation, and not only was not an investigation in which I walked alone – there were more phenomenologists working in this line – but that I belonged to the phenomenological tradition in a double manner: firstly, for exercising – Embreeanly

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[48]According to him, the practise of phenomenology is often mistaken by what he generically calls "scholarship" (taking the tasks of edition, interpretation, commentary and translation of texts as ends in themselves) or "argumentation" (taking position for or against certain theses). Embree insists that phenomenology is not about "scholarly" and "philologically" knowing texts of our phenomenological tradition, but about knowing "things," that is, describing and analysing our intentional "encounter" with all that constitutes our surrounding world. See "Preface for Instructors," in *Reflective Análisis. A First Introduction into Phenomenological Investigation*.

[49]See *Fenomenología Continuada. Contribuciones al análisis reflexivo de la cultura*, p. 178.

[50]Up to that moment, I had applied the Husserlian method in several essays to the subject of the woman and the topic of justice between humans, and during the years that passed since then I have applied it, among others, to the topic of vegetables (unpublished), to that of racism and immigration, and to bellicism.

speaking – "continued phenomenology," by embracing the Husserlian analytical method and putting it into practise, analysing issues which are of the greatest concern to us or which raise greater interest in our present time; secondly, for not belonging to any prior stage of the phenomenological tradition, but precisely to this "fifth stage," which – says Lester Embree – "should perhaps be dubbed as phenomenology of culture or cultural phenomenology."[51] In any case, approaching the issue of non-human animals from phenomenology means to "continue" with the spirit of Husserl himself. And this has been my intention here.[52]

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[51] *Fenomenología Continuada. Contribuciones al análisis reflexivo de la cultura*, p. 15.

[52] I am very grateful to Marcos Guntín for having translated this text from Spanish.

Ecophenomenology and the Resistance of Nature

Ted Toadvine

1 Wildness and Wilderness in the American Context

In his justly famous essay "Walking," published after his death in 1862, Henry David Thoreau wrote that "In wildness is the preservation of the world." Thoreau penned these words at a time when Americans were enacting their vision of "manifest destiny," displacing the indigenous peoples from the western half of the continent and hacking down its ancient forests to make way for orchards, cattle pastures, and industrial progress. A century later, Thoreau's remark became a clarion call for the modern American environmental movement in its effort to preserve our remaining "pristine" forests and natural areas. "Wildness" had become, in the minds of many, equivalent to "wilderness," defined by the 1964 Wilderness Act as "an area where the earth and its community of life are untrammeled by man, where man himself is a visitor who does not remain."[1] In retrospect, this first wave of modern American environmentalism was something of a cult of wilderness, inspired by the literary musings of John Muir and Edward Abbey, and spanning a political spectrum from mainstream lobbying organizations like the Sierra Club to the "monkeywrenching" sabotage of Earth First! It was within this social climate that a handful of academics in the English-speaking world first began to refer to themselves as "environmental" philosophers, and so we should not be surprised that for many of them, such as deep ecologists Arne Naess and George Sessions, global protection of the last remaining wilderness areas ranked alongside a decrease of human population as the most pressing ecological concerns.[2]

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[1] For the confusion of "wildness" with "wilderness" in Thoreau's quote and an inspired effort to turn this confusion toward the preservation of wilder wilderness, see Jack Turner, "In Wildness Is the Preservation of the World," in *Deep Ecology for the 21st Century*, ed. by George Sessions (Boston: Shambhala Press, 1995), 331–338.

[2] See, e.g., George Sessions, "Ecocentrism, Wilderness, and Global Ecosystem Protection," in *Deep Ecology for the 21st Century*, 356–375.

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   But the last generation of environmental thinking has seen a backlash against
this early fixation on wilderness preservation, which is now considered by many to
be a peculiarly American concern and not especially applicable to the environmen-
tal problems faced in other parts of the globe.[3] More fundamentally, the very idea
of "wilderness" seems to imply a radical division between humans and nature, as if
nature could be "pure" or "pristine" only in the absence of any human presence or
influence. The concept of wilderness paradoxically allows us to continue elevating
our own species as somehow above or transcending our natural situation under the
very guise of preserving nature. This kind of dualistic thinking has destructive
consequences for humans as well as nature, or so the argument goes. By accepting
the premise that "nature, to be natural, must also be pristine," historian William
Cronon asserts, environmentalists have placed themselves in a paradoxical posi-
tion: "if nature dies because we enter it, then the only way to save nature is to kill
ourselves."[4] This nostalgic view of nature as pristine and set apart from human
interaction has perpetuated environmental racism and class bias, Cronon contends;
but, more importantly, it distracts us from the more pressing task of discovering the
"middle ground" where humans and nature are intertwined (Cronon, 86).
   But for Cronon and many other critics of the wilderness ideal today, the alternative
to misplaced nostalgia for the lost purity of nature is to embrace the view that all
conceptions of nature are "socially constructed." The popularity of this position lies
partly in the fact that it makes a space for humanists and cultural critics at the table
of environmental policy making, which has too often been reserved for natural scien-
tists and economists. If our many concepts of nature – e.g., as pristine Eden, moral
yardstick, nurturing mother, or radical other – are reflections of our own cultural
context, then it is through history and cultural study rather than empiricism that we
will learn to read nature's book.[5] Since our concepts of nature always emerge within
a particular cultural setting, they necessarily reflect human judgments, values, and
choices. Consequently, in Cronon's words, "What we mean when we use the word
'nature' says as much about ourselves as about the things we label with that word."
"Nature," then, is a "profoundly human construction," and we have no hope of a first-
hand encounter with some world "out there" that would not be mediated by our
imaginings and desires (Cronon, 25).

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[3]Classic criticisms of the wilderness ideal include Ramachandra Guha, "Radical American
Environmentalism and Wilderness Preservation: A Third World Critique," *Environmental Ethics* 11,
no. 1 (1989); and J. Baird Callicott, "A Critique of and an Alternative to the Wilderness Idea," in
Environmental Ethics, ed. by Andrew Light and Holmes Rolston, III (Malden, MA: Blackwell,
2003), 437–443.

[4]William Cronon, "The Trouble with Wilderness; or, Getting Back to the Wrong Nature," in
Uncommon Ground: Rethinking the Human Place in Nature, ed. by William Cronon (New York:
W. W. Norton & Company, 1996), 83.

[5]Cronon admits in the "Introduction" to *Uncommon Ground* that a secondary agenda of the book is
to "demonstrate the practical relevance for practical problem solving of humanities disciplines that
are rarely even consulted by policymakers and activists who devote themselves to environmental
protection" (Cronon, 27).

Environmental theory today, at least in the United States, tends to oscillate between these two extremes: either nature is somewhere "out there," wherever humans are not; or else it is reducible to an historically and socially determined idealization having no foundation in our experience. Neither alternative is acceptable, however, nor do they exhaust the possibilities for how we might think about nature. This is because neither position pays sufficient descriptive attention to our actual *experience* of nature. Thoreau's claim was not that the preservation of the world lies in *wilderness*, but in *wildness*. As Jack Turner notes, wilderness is a place, but wildness is a quality (Turner, 333). What, then, is the quality of experience that deserves to be called "wild"? For an answer to this question, we must turn to phenomenology, which teaches that an adequate account of what we mean by "nature," "wilderness," or "wildness" must begin from the patient effort to give a voice to our experiences, however inarticulate they may at first seem. The truth of nature in this sense, as a quality of our experience, cannot be learned from the natural science of ecology. And yet is it not this nature, experienced nature, with which humans are intertwined in their daily lives?

2 A Phenomenology of the Resistance of Nature

To begin investigating the experience of nature, let us turn to Merleau-Ponty's analyses of the perceived thing in *Phenomenology of Perception*.[6] In the chapter devoted to "The Thing and the Natural World," our experience of the thing is described in an oddly Janus-faced fashion. The first "face" of nature points toward us, or more precisely, toward the perceiving body with which it engages in a kind of question-and-answer dialogue. "The relations between things or aspects of things having always our body as their vehicle," Merleau-Ponty writes, "the whole of nature is the setting of our own life, or our interlocutor in a sort of dialogue" (PP 369–70/373). The body and the perceived thing enter in a kind of "coition" through which is revealed the thing's own unique manner of existing, its expressive symbolism that cascades across each of our sensory modes, such that the thing's color, texture, taste, and timbre all seem to speak to us in a language that teaches itself. Appearing in this way, the perceived thing is "correlative" to my body; the thing and the body share a "co-natural" existence. But since the thing is here the correlative of my body, since it can have meaning for me only as something actually or possibly perceived, it is always "invest[ed] with humanity" (PP 370/373). Therefore, Merleau-Ponty says that "if we try to describe the real as it appears to us in perceptual experience, we find it overlaid with anthropological predicates" (PP 369/373). The first face of nature, therefore, as it is opened to us in our perceptual dialogue and as a correlative of the body, is a kind

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[6]Merleau-Ponty, *Phénoménologie de la Perception* (Paris: Gallimard, 1945); *Phenomenology of Perception*, trans. by Colin Smith (London: Routledge, 1962; reprinted by Routledge Classics, 2002). Hereafter cited as PP, with French preceding English pagination.

of humanized nature, a nature framed by the limits of the human temporal and spatial scale and by the limited range of the human sense modalities. Our experience of the world may therefore be entirely distinct from that of a tick or a fly, of a cheetah or a chimpanzee, precisely because the nature that "faces" them will be revealed through a different range of sensory capacities and temporalities.[7]

It has been suggested that Merleau-Ponty's description of our bodily reciprocity with things may be taken as the basis for a non-dualistic understanding of the human relationship with nature, and perhaps even as the basis for a new environmental ethics.[8] But this is only a partial description of our relation with things, which have another, entirely different "face" from the one that they turn toward our bodies, namely, a face that refuses our advances and resists us, that rejects our anthropomorphizing projections. Merleau-Ponty describes this second, resistant face of nature as follows:

> [T]he thing presents itself to the person who perceives it as a thing in itself, and thus poses the problem of a genuine *in-itself-for-us*. Ordinarily we do not notice this because our perception, in the context of our everyday concerns, alights on things sufficiently attentively to discover in them their familiar presence, but not sufficiently so to disclose the non-human element which lies hidden in them. But the thing holds itself aloof from us and remains in-itself. This will become clear if we suspend our ordinary preoccupations and pay a metaphysical and disinterested attention to it. It is then hostile and alien, no longer an interlocutor, but a resolutely silent Other, a Self which evades us no less than does intimacy with an outside consciousness. (PP 372/375–376)

We see here the Janus-faced character of the perceived thing. Our everyday perceptions typically reveal to us only the familiar presence of our humanized artifacts under the guise of their practical availability to us, what Heidegger would have called their *Zuhandenheit*, "readiness to hand."[9] But enfolded within such perceptions is a deeper layer of non-human or anti-human nature, a recalcitrance of the thing that holds itself aloof from us. The thing presents itself to me as *in-itself*, even while this in-itself character is a disclosure *for-me*. Therefore, the aloof aspect of the thing has a kind of paradoxical or agonistic tension with its other, "human" face.

Merleau-Ponty is not alone among phenomenologists to call attention to this resistant character of the thing. Here we could mention Scheler's account of resistance as the primary experience of "reality," Heidegger on the self-refusal and independence of the thing as manifestations of its earthly character, and Levinas's

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[7]Jakob von Uexküll offers the classic statement of this difference of animal *Umwelten*, for instance in *Streifzüge durch die Umwelten von Tieren und Menschen* (Hamburg: Rowohlt, 1956); "A Stroll Through the Worlds of Animals and Men," in *Instinctive Behavior: The Development of a Modern Concept*, ed. and trans. by Claire Schiller (New York: International Universities Press, Inc., 1957).

[8]For instance, David Abram, *The Spell of the Sensuous* (New York: Vintage Books, 1996), especially Chapter 2; Monika Langer, "Merleau-Ponty and Deep Ecology," in *Ontology and Alterity in Merleau-Ponty*, ed. by Galen Johnson and Michael Smith, 115–129 (Evanston: Northwestern, 1990); Neil Evernden, *The Natural Alien*, 2nd. edn. (Toronto: University of Toronto Press, 1993), especially Chapter 2; Don E. Marietta, Jr., "Back to Earth with Reflection and Ecology," in *Eco-Phenomenology: Back to the Earth Itself*, 121–135 (Albany: SUNY Press, 2003).

[9]Heidegger, *Sein und Zeit*, §15.

description of the anonymous and nocturnal "there is" of the elemental.[10] A more complete treatment of my theme would require investigation and comparison of these various approaches to the resistance of nature. Since my aim here is not scholarly hermeneutics, this task will have to be completed elsewhere. Merleau-Ponty's descriptions serve us well as a starting point because he focuses on the paradox or tension between the two faces of the thing: "How are we to understand," he asks, "both that the thing is the correlative of my knowing body, and that it rejects that body?" (PP 375/379). In other words, how is it that nature engages us as interlocutor while also refusing our humanizing projections?

In addressing this question, Merleau-Ponty notes, first of all, that the "core of reality" that defines a thing is "the very configuration of its sensible aspects" (PP 373/376). When we break with our everyday perceptions of a thing in terms of our practical categories, we discover a reality with its own textures and rhythms, an unexpected sense that comes to us from the thing and may confound the gears of our practical intentions. This configuration of the sensible compresses into itself an infinity of relations, such that each moment is inseparable from the rest and from the larger context within which it is set. This is why each real thing is inexhaustible, each sensory exploration opening onto yet others that draw us on still further. It is only reality, not daydreams or illusions, that offers us this dense sensible grain. In the thing, sense and existence are inseparable, so that to be this table or that rock is to hold in reserve, in its very configuration, this inexhaustible plentitude of sense. Consider once again Merleau-Ponty's description of this plentitude:

> The real is distinguished from our fictions because in reality the sense invests and permeates matter. Once a picture is torn up, we have in our hands nothing but pieces of daubed canvas. But if we break up a stone and then further break up the fragments, the pieces remaining are still pieces of stone. The real lends itself to unending exploration; it is inexhaustible. This is why objects belonging to man, tools, seem to be placed on the world, whereas things are rooted in a background of nature which is alien to man. (PP 374/378)

To see a tool or artifact *as* an artifact, to remain within the scope of the human world, is precisely to miss this inexhaustible depth of the thing.[11] But this depth is not simply a materiality; it is rather a plentitude of the *sensible*, that is, of what may be unfolded into an experience, albeit an experience of the very configuration and rhythms of the thing itself.

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[10]Max Scheler, *Man's Place in Nature*, trans. Hans Meyerhoff (Boston: Beacon Press, 1961), esp. 14; Martin Heidegger, "The Origin of the Work of Art," in *Poetry, Language, Thought*, trans. Alfred Hofstadter (New York: Harper & Row, 1971), 31–32; Emmanual Levinas, *Existence and Existents*, trans. Alphonso Lingis (Pittsburgh: Duquesne University Press, 2001), 51–60; and *Totality and Infinity*, trans. Alphonso Lingis (Pittsburgh: Duquesne University Press, 1969), 130–142.

[11]Compare a similar example from the chapter on space: "I never live wholly in varieties of human space, but am always ultimately rooted in a natural and non-human space. As I walk across the Place de la Concorde, and think of myself as totally caught up in the city of Paris, I can rest my eyes on one stone of the Tuileries wall, the Square disappears and there is then nothing but this stone entirely without history; I can, furthermore, allow my gaze to be absorbed by this yellowing, gritty surface, and then there is no longer even a stone there, but merely the play of light upon an indefinite substance" (PP 339/342).

Nevertheless – and here we see the tension of the two faces of the thing – this configuration of the sensible is never given to me in some unmediated or ahistorical fashion. This is why the experience of the thing is always of an in-itself-*for-me*. In my experience of the thing, including its inhuman depth, I do not relinquish my particular place or point of view, shaped as it is by my education, class background, ethnicity, gender, age, cultural training, etc. My perceptions, the ways that the sensible unfolds for me, are of course formed at a certain point in intellectual history, under the influence of all of the philosophy that I have read, but also all of the novels, poems, and comic books. There is no possibility of a perception purified of the lingering after-images of pastoral paintings, television commercials, and picture post-cards. Herein lies the kernel of truth in the "social construction" view of nature, which insists that any encounter with an "outside" is mediated by these cultural and historical concepts and images.

I am suggesting, then, that the two faces of the thing in Merleau-Ponty's description correspond to the two sides of the environmentalist debate with which my discussion began. The correlation of the thing with my perceptions, which are always rooted in my particular background and cultural history, suggests a psychologization of the thing, that is, a reduction of it to my expectations. The "social construction" view of nature pushes this aspect of our experience to its limit, reducing nature to a projection of our preconceptions. On the other hand, the aloof and non-human aspect of the thing presents us with "wildness" in its root sense, namely, the resistance to our humanizing projections. The dualistic view of humans and nature perhaps has its experiential roots in just such an intimation of nature's refusal. If Merleau-Ponty's descriptions are accurate – and this is a question that can only be answered through our own phenomenological reflections – then both positions capture a certain truth of the perceptual experience of the thing. But both capture only part of this truth, while the full experience of nature involves both aspects inseparably.

Phenomenology's key contribution to environmental thought is its ability to hold together both horns of our seemingly paradoxical experience of nature: On the one hand, we can meaningfully speak of nature only as the actual or possible object of our experiences and perceptions. Nature is therefore a sense, a meaning, that we must live for it to have any content whatsoever. A condition for the coherence of scientific accounts of nature, consequently, is their grounding in lifeworldly experience. On the other hand, nature presents itself to us precisely as autonomous, independent, and prior to our grasp of it. Furthermore, we are situated within it and emergent from it, so that we are apparently conditioned and exceeded by the very object on which we attempt to reflect. Taken together, these two aspects form what Merleau-Ponty calls a "transcendental contradiction," which is constitutive of the experience of transcendence in all of its forms – not only nature, but also the other human being, birth and death, our own bodies, the pre-reflective, and most fundamentally, the unfolding of time.[12] Such "contradictions" are not problems to be solved through argumentation or

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[12]See, e.g., PP 417 ff. /423 ff., and Merleau-Ponty's discussion of the contradictory nature of the perceived world in "The Primacy of Perception and its Philosophical Consequences," in *The Primacy of Perception*, ed. by James Edie (Evanston: Northwestern, 1964), 18–19.

dialectical synthesis, since it is the contradictory character of the experience that makes it an experience of a *transcendence*. It is in the fidelity to such complex and contradictory experiences that we see the true value of phenomenology, its ability to follow the turns of experience farther than other philosophical approaches, which too quickly fall back into the ruts of realism or idealism.

My suggestion, therefore, is that the aloof character of the thing, its alien and reticent withdrawal before our perceptual grasp and conceptual framing, provides the transcendental sense of "wildness." To the extent that "nature" is figured in our cultural imaginary as a pristine absence of the human, the possibility of such absence is already whispered to us in the resistance of every natural thing – the way the stone withholds its depths from our touch and gaze, the invisible fickleness of the breeze, or the fatigue of our own bodies when, suffering from jetlag, they rebel against the abrupt imposition of a foreign rhythm of sleeping, eating, and thinking. If this is so, then the so-called "alienation" from nature that is much-bemoaned in environmental circles cannot be blamed entirely on the usual scapegoats, such as technology, agriculture, capitalism, patriarchy, Christianity, or the alphabet. Instead, the kernel of this alienation, its transcendental truth, inhabits every perception, once we dig below the humanized surface of our instrumental and practical concerns.

As a further consequence, it also follows that wildness as a quality of experience cannot be located exclusively in areas that we generally associate with "nature" or wilderness. Here our analyses rejoin those of nature writers like Gary Snyder, who notes that:

> wildness is not limited to … formal wilderness areas. Shifting scales, it is everywhere: ineradicable populations of fungi, moss, mould, yeasts and such – that surround and inhabit us. Deer mice on the back porch, deer bounding across the freeway, pigeons in the park. Spiders in the corners. … Exquisite complex beings in their energy webs inhabiting the fertile corners of the urban world in accord with the rules of wild systems, the visible hardy stalks and stems of vacant lots and railroads, the persistent raccoon squads. Bacteria in our loam and in our yogurt.[13]

Snyder recognizes wildness everywhere, even in the city and the home. But his list is not as long as ours, even when he adds to it our bodies and language (Snyder, 31–33), because an inhuman resistance or a wildness inhabits every perception, including those of our companion animals, buildings, tools, and artworks. Wildness is the backside of every perception and experience. This point is made by David Abram, who recognizes that "our human-made artifacts inevitably retain an element of more-than-human otherness":

> This unknowability, this otherness, resides most often in the materials from which the object is made. The tree trunk of the telephone pole, the clay of the bricks from which the building is fashioned, the smooth metal alloy of the car door we lean against – all these still carry, like our bodies, the textures and rhythms of a pattern that we ourselves did not devise, and their quiet dynamism responds directly to our senses. (Abram, 64)

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[13]Gary Snyder, "The Etiquette of Freedom," in *The Wilderness Condition*, ed. by Max Oelschlaeger (San Francisco: Sierra Club Books, 1992), 30.

With this last phrase, Abram reminds us of a third consequence of this account of the resistance of nature, already implied in Merleau-Ponty's descriptions. When we call the aloofness of nature a "resistance," this expresses the experience only in a negative way. But the wildness of nature also has a positive sense, which is precisely the engagement with its sensible configuration as an *other* texture or rhythm. The encounter with the aloofness of nature is perhaps always an encounter with something unexpected or idiosyncratic, a rhythm that we do not project but that invades us.[14] The resistance of nature is not, then, a meaningless gap in the world, a nothingness, but the interruption of our expectations and rhythms by an alternative meaning, even if it is a meaning that we encounter as foreign and inhuman. It is in this way that every perception opens onto an inexhaustible depth of sensibility. The moment of resistance also has its own temporality, since it exists in a kind of immemorial time that seems always-already there when we appear on the scene. This is what Merleau-Ponty means when, citing Lucien Herr, he describes nature as "there from the first day."[15]

3   Nature's Resistance to Phenomenology

Thus far, we have been sketching out a phenomenology of the resistance of nature. But the experience of nature's resistance also holds implications for the position that we take as phenomenologists, as describers of the world who are situated within it. Alongside the phenomenology of nature's resistance, therefore, we must also consider nature's resistance to phenomenology. This link is already suggested by Merleau-Ponty in his late essay on Husserl, "The Philosopher and his Shadow," when he writes that

> the ultimate task of phenomenology as philosophy of consciousness is to understand its relationship with non-phenomenology. What resists phenomenology within us – natural being, the 'barbarous' source Schelling spoke of – cannot remain outside phenomenology and should have its place within it.[16]

The resistance of nature is therefore not only an experience to be described, but just as much a resistance to the description of experience. This is to be expected if our acts of reflection are themselves natural, if they are founded on a body that participates

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[14]This would be close to what Neil Evernden calls "nature as miracle" in "Nature in Industrial Society," reprinted in *Environmental Ethics: Divergence and Convergence*, 3rd edn., ed. by Susan Armstrong and Richard Botzler (Boston: McGraw Hill, 2004), 191–200.

[15]"Nature, says Lucien Herr in a comment upon Hegel, 'is there from the first day.' It presents itself always as already there before us, and yet as new before our gaze. Reflexive thought is disoriented by this implication of the immemorial in the present, the appeal from the past to the most recent present" (Merleau-Ponty, "The Concept of Nature, I," in *In Praise of Philosophy and Other Essays* [Evanston: Northwestern, 1988], 133).

[16]Merleau-Ponty, *Signes* (Paris: Gallimard, 1960), 225; *Signs*, trans. Richard McCleary (Evanston: Northwestern, 1964), 178. Hereafter cited as S, with French preceding English pagination.

in the Janus-faced duplicity of nature just as much as any other natural thing. The interruptive force of the natural is not merely an object that we intend, but also the interruption of our intending, and in this sense, it is a certain inevitable blind-spot for phenomenological reflection. But Merleau-Ponty's point in the passage that we have just cited is that this interruption should not be treated as a fault or lack in the phenomenological approach. Instead, phenomenology must recognize that this resistance is internal to its own operation; it must accept that the challenge to reflection stems from the pre-reflective experience onto which reflection opens. And therefore, it is not the pre-reflective that challenges reflection, but reflection that challenges itself (S 204/161). In the terms of our descriptions above, we have seen that nature's resistance to our experience of it is actually constitutive of this experience, to the extent that the experience in question is of nature's transcendence. Philosophy is not challenged by nature as something exterior and alien to it, then, but rather as the prereflective experience that it aims, through reflection, to express. Wildness is both what resists the attempt to conceptualize nature and the very aim of this conceptualization. This is Merleau-Ponty's point when he says that the investigation of our constitution of the world must mature into "the means of unveiling the back side of things that we have not constituted" (S 227/180).

What is this natural resistance internal to phenomenology, understood as the reflective effort to describe experience in terms of objects as intended and our intendings of those objects? This resistance is of two related sorts: first of all, whatever conditions our intendings and efforts at reflective description without itself being captured by those efforts; and, secondly, the interruptions of our intendings to the extent that these exceed our intendings of them as interruptions. Concerning the first point, the conditions of intentionality, this follows from understanding our intentional life as embedded within a nexus of interactions that include the natural and causal. David Wood puts this point as follows:

> If I "see" a fruit as succulently delicious, this is intrinsically connected, however many times removed, with my enjoyment of fruit, my capacity to eat, etc. The fact that I am now allergic to fruit, or that I cannot afford this particular item of fruit, is neither here nor there. The point is that I am the kind of being that eats sweet things, and the structure of my desire reflects that … If this is so, intentionality is firmly lodged within my bodily existence, within the natural world.[17]

If, as Wood puts it, "all specifically directed intentional consciousness draws on the manifoldness of our sensory and cognitive capacities," then intentionality may be described as an indirect natural relation, although to "naturalize" consciousness in this way would also require a concomitant expansion of what we mean by "natural" (Wood, 160–161). Our intendings, including those of our reflective efforts to describe, are therefore caught up in and conditioned by a nexus of natural relations, the influences of which will always escape our reflective grasp to one degree or another. Yet such conditions have their own, resistant ways of making themselves known, by the

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[17]David Wood, *The Step Back: Ethics and Politics after Deconstruction* (Albany: SUNY Press, 2005), 160.

very structure of our perceptions, needs, desires, imaginings, and memories. Indirectly, the blind-spots of our situatedness can be disclosed phenomenologically.

Secondly, the resistance of nature may reveal itself as an interruption of our intendings. Here we should note the distance between the experience of disruption and the disruption of experience. When I am too tired to think clearly, my fatigue is not necessarily an object of my awareness; it may be instead the very breakdown of this awareness. As an interruption of reflection, such fatigue exceeds and resists my reflection on it. Of course, I can name this interruption retrospectively and indirectly: "I don't know why I am so argumentative," I might say; "I guess that I'm just exhausted from traveling." It is only through the conditioning and interrupting of our experiences that we can know and name them these resistances, and so in a certain sense they do become objects of our experience; and yet, as what transcends experience, their resistance is precisely their reality beyond intentionality. Therefore, phenomenology is itself beholden to a certain wildness that it discovers already at play within its own efforts and operations, as a kind of shadow cast by its participation in natural being.

4 Ecophenomenology and Environmentalism

Let us consider, in closing, some implications of these descriptions for environmental theory and practice. The ambiguity of the term "nature" in the English language has often been remarked, but two usages dominate current environmental thinking: first, "nature" is defined by the absence of intentional human agency, that is, as the opposite of culture. It is this understanding of nature that undergirds the wilderness ideal. Secondly, "nature" is defined as an all-encompassing milieu, such as when one remarks that humans are also "part of nature."[18] Although we fluidly switch back and forth between these two different meanings of nature (and often, if we are not careful, in the same conversation), the two meanings are hardly compatible, since the first wholly excludes humans while the latter wholly includes them. As Kate Soper has noted: "We have thought … of humanity as being a component of nature even as we have conceptualized nature as absolute otherness to humanity. 'Nature' is in this sense both that which we are not *and* that which we are within."[19] In our everyday discourse as well as our environmental theorizing, we seem to be

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[18]The distinction between these two different senses of "nature" was perhaps first made explicit by John Stuart Mill in the essay "Nature." See *The Essential Works of John Stuart Mill*, ed. by Max Lerner (New York: Bantam Books, 1961), 365–370. For a very useful contemporary discussion of the various connotations of "nature" and their relation to environmental theory, see Kate Soper, *What is Nature?* (Oxford: Blackwell, 1995), esp. Chapter 1.

[19]Kate Soper, *What is Nature? Culture, Politics and the non-Human* (Oxford: Blackwell, 1995), 21. Mary Midgley explores the parallel ambivalence of our relationship with animals and its psychological motivations in *The Myths We Live By* (London: Routledge, 2003), 135–141.

paradoxically torn between emphasizing our continuity with nature and seeing ourselves as essentially divorced from it.

My suggestion is that these contradictory ways of relating ourselves with nature have a deeper foundation than verbal ambiguity, that in fact they correspond to the paradoxical tension that I have called the Janus-faced aspect of perceptual experience. If this is so, then we should not hope for a resolution of this ambiguity, as it is constitutive of the very experience of nature.[20] The phenomenology of nature therefore undercuts the attempt by many environmental theorists to draw ethical consequences from our metaphysical "oneness" with nature, which is a common trope of deep ecological and biocentric positions. But it equally confounds those who reduce nature to our social constructions and projections on it. The Janus-faced character of nature reveals a certain unavoidable truth of dualism, such that humanity can never simply be included within nature as a part of it, nor set off from it as a dialectical opposite. To clarify, I am not suggesting that "nature" be posited as a noumenal realm apart from any possibility of experience. We open onto nature only by way of our human perceptual abilities, our personal histories, and the conceptions that we have inherited from cultural and intellectual traditions. Yet, to be nature, what we open onto also must exceed these idealizations and conceptions. It does so not by a retreat into noumenality, but precisely by revealing to us, in indirect ways – as the backside of things that we have not constituted – the conditions that limit our grasp of it and the resistance that it offers our idealizations and concepts.

How does this view of nature clarify the relation between wildness and wilderness? If wildness appears as the obverse of our perceptual reciprocity with the thing, precisely as the sensible depth that it withholds or as its interruption of our expectations, might not this experience be revealed with different intensities in different settings? If each perceptual experience contains the germ of an inhuman otherness, why does this strike us more readily in a natural object, such as a leaf or a stone or a wild animal, than in an artwork or a tool? As we saw in Merleau-Ponty's descriptions, our habitual perception alights only on the human face of our surrounding world and represses our encounter with this deeper resistance. We may occasionally glimpse a wildness in the lines on a friend's face, in the smoothness of a doorknob worn by the touch of many hands, or in the aroma of a cup of tea. But as sites of nature's resistance these tend to be subtle and ephemeral. Wilder still is the disorientation that accompanies the first visit to a foreign city and the feeling of drowning in an unknown tongue whose sounds and signs remain impenetrable. But in this setting, nothing quite has the aura of the ordinary, so that one cannot finally say to what degree the shock of the unknown is attributable to natural or cultural otherness.

But perhaps there are some settings that provide a privileged site for the disclosure of the wild, places where the inhuman aspect of the thing is less veiled by the skein of habitual and practical intentions. If so, we should expect the experience of the inhuman face of things to intensify as the signs of human presence and the

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[20]This undercuts the dichotomy between "biocentrism" and "anthropocentrism" that continues to shape much of the dichotomy in environmental circles, although I do not develop this point here.

reminders of human concerns recede. This is, in fact, the claim made by wilderness enthusiasts like Jack Turner, who reports on the "simple law" that

> the farther you are from a road, and the longer you are out, the wilder your time. Two weeks is the minimum; a month is better. Until then the mind remains saturated with human concerns and blind to the concerns of the natural world. (Turner, 333)

Can the retreat from "civilization" into an area free from human presence serve to reveal nature's hidden face? Perhaps. But it is worth noting that, if our analysis is correct, the two faces of nature are always inexorably linked. Just as wildness is the obverse of every perception, so the humanizing effect of our gaze follows us into the most remote wilderness. What Turner describes as the attunement of his mind with nature may instead by the formation of habits that normalize the "wild" as a human habitat, which would mean stripping it of its wildness. Since wildness accompanies all of our perceptions, there can be no absolute alienation from it; but, by the same token, the wildness we encounter is always the obverse of a human history and situation through which our encounter is sketched, and so there can also never be a pure "immersion" in the wild that leaves our human world behind.

To clarify this point further, we should distinguish between several different levels on which our "humanization" of nature is enacted, of which we can specify at least the following three: first, through our *perceptions*, which operate according to species-specific spatial and temporal scales, historically and culturally informed traditions of framing and interpretation, and the idiosyncrasies of our organic make-up; second, through our *concepts and idealizations*, which are shaped by intellectual history and education, our language and social training, the geography of our social environments, etc.; and lastly, through our *technical interventions*, the degree to which we actively shape and reorganize the world around us in practical and aesthetic ways. Although Turner's wilderness may demonstrate fewer signs of technical intervention, he will nonetheless encounter nature there from the perspective of a contemporary American male with typical human senses. Should he be an amateur naturalist or a collector of wild mushrooms, he may very well encounter the "wilderness" itself through scientific taxonomies and practical intentions, and therefore more as an interlocutor than as a silent other. But at each level of our humanizing interactions with nature, in city as well as forest, we discover the interruptive, indirect means by which it insists on a certain autonomy. It is through an ecophenomenology, David Wood writes, that "Nature becomes visible both as constructed, and as participating in its own construction."[21]

It follows that nature is never revealed to us "immediately," in a pure or pristine way. It is, to be sure, what we learn about in a science class, what we admire on a stroll through the park, or what we are grateful for when biting into a fresh apple. But it is simultaneously something else entirely, the inexhaustible plentitude withheld in each experience, the unexpected *thisness* that confronts each of these stereotypical and pre-conceptualized ways of cutting up the world with a mute and

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[21]Wood, *The Step Back*, 6.

opaque remainder.[22] As Wood notes, "nature has no respect for the forms of its human ordering":

> The most powerful effects man has on nature are not in the roads, the cities, the communication networks in which order is imposed, but in the resulting and unpredictable disorder elsewhere. Entropy bites back. What we call the environment is resistance to conquest.[23]

Perhaps the greatest contribution that ecophenomenology can make to environmental thinking is in attuning us to this resistance at all levels of our encounters with nature: the nature in us as well as outside of us, the resistance of the unreflective to our reflections, and the resistance of natural systems to our practical human constructions. Ecophenomenology may therefore be defined as a practiced vigilance concerning nature's resistance to conquest and the paradoxical effort to bring this mute resistance to its own proper expression.

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[22]The position that I am describing should not be interpreted as opposed to scientific investigation of nature, although it may suggest that we understand the practice of science differently, perhaps along lines similar to Donna Haraway's suggestion that the world be understand as agent or "coding trickster" rather than as an object. See Haraway, "Situated Knowledges: The Science Question in Feminism and the Privilege of Partial Perspective," in *Simians, Cyborgs, and Women: The Reinvention of Nature* (New York: Routledge, 1991), 197–201.

[23]David Wood, *Thinking after Heidegger* (Cambridge: Polity Press, 2002), 58.

Reflections on the Ecological Crisis and the Meaning of Nature*

Ullrich Melle

"<…> one can now conceive of a politics in which the highest goal is the preservation and even reconstruction of the biosphere called Earth, within which humans may still be considered a species with intrinsic value and preserved for its own sake, but they would not by any means be the sole species to be valuationally encountered in this way. Humans can learn to be biocentric." (Lester Embree)

Environmental or ecophilosophy came into existence in the late sixties and early seventies of the previous century in response to the perception of a human-induced global ecological crisis. Exponential demographic and economic growth increasingly undermine the ecological viability and carrying capacity of the biosphere: natural resources are depleted and natural cycles are disturbed, water, air and soil are polluted, biodiversity is reduced – the whole fabric of nature is destabilized and disintegrating. The explosive growth of the human economy – in the number of humans as well as in the rate of consumption of nature of each individual – is destroying the planetary ecology as the integrated whole of the physical, geomorphological, chemical and biological processes which generate and maintain the richness and diversity of life on our planet. With the imminent threat of climate change and its potentially devastating consequences for human and non-human life the ecological crisis looms larger than ever. Mother Earth's critical functions are today closely monitored around the clock and tens of thousands of scientific experts are charting the course of ecological devastation and decline in its details as well as in its global scope. Whole libraries can be filled by now with scientific publications on the various aspects of the ecological crisis, with historical and philosophical analyses of its causes and roots, with ecological doomsday-prophesies, moral warnings and appeals and with proposals for economic and political reform or revolution. The public is concerned, conferences are organised, reports are written, measures

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are taken but it appears that the collision course of the industrial juggernaut is so far only marginally deflected, if at all.

It all seems obvious. *Homo sapiens sapiens*, we humans, are continuing to increase our numbers and none of us is ultimately satisfied with the fulfilment of only her basic needs for food and shelter. A satisfying and dignified human life in the modern world requires access to schools and universities, to hospitals, it requires the availability of motorized transport, of mechanical tools and modern information technology. Above all it requires opportunities for productive work, for economic and cultural activity. Can these requirements be met for more than six billion people today and perhaps eight to ten billion people in the not too distant future without further ecological exhaustion and disruption causing a mass-extinction of non-human lifeforms? Since furthermore we are not living in a worldwide socialist brotherhood of mature and rational human beings but in a world of global capitalism with merciless competition for resources and markets and with the constant creation of new consumptive desires with the help of commercialised mass-media which promote widespread infantilization, psychological immaturity and addiction to consumerist lifestyles, there is little hope for voluntary human self-limitation. There are no indications of a halt to the further expansion and growth of the human household and of the throughput of nature. The human hunger for minerals and fossil fuels, for land, water, wood and meat appears to be unsatiable. The collision course of our species with nature is firmly set and with open eyes and full knowledge but somehow unable to rise to the occasion and act according to that knowledge we are destroying the fabric of life on our planet.

Such claims to an obvious truth of and about the ecological crisis are not uncontested, however. How could they? Whether as critical modernists or hypercritical postmodernists we are suspicious of the alarmist rhetoric and the recurrent media-hype about the impending ecological apocalypse. There may be specific environmental problems in certain places or even globally. But do all these specific problems add up to a global ecological crisis, to a fatal clash between humanity and its non-human other? Maybe this crisis is only an ideological fabrication, a media-event and virtual reality, a meaning-giving myth of our times about good and evil, about moral blindness and heroic resistance, about our fatal history and final destiny? Are we dealing with a new grand narrative, a misanthropic and dystupion tale about our depravity and doom preparing the way for terrorism and totalitarianism in the name of ecological salvation?

But then we are suspicious again of our suspicions, doubts and denials. We don't want to confront the truth, we don't want to be humbled and ourselves be deconstructed by the truth about our world-destroying activities so we rather try to deconstruct that truth by strenuously trying to expose hidden motives, ideological concerns, political strategies, mythical and religious subtexts in the discourse about the ecological crisis. As if we can think and talk it away this cliff and yawning abyss of extinction!

We seem to have lost our bearings, we are thrown back and forth between on the first side the modern faith in the truth-finding capacity of science and the problem-solving power of technology which both rest on the ability to clearly separate fact

from value, rationality from irrationality, science from myth, on the second side romantic intuitions about alienation and homecoming and on the third side a hyper-reflective postmodern deconstruction of all claims to truth as culturally constructed narratives in the service of "a will to power."

The disintegration of the planetary ecology with its wave of extinctions has meaning and import for us not only as a threat to our survival and to the continuation of our civilization. The human imprint on the planet and its ecosystems becomes ever larger. The growth of technical infrastructures and installations, of human settlements and urban conglomerations, of industrial sites, of mining, of foresty, fishery and animal husbandry lead to an ever greater part of the surface of the planet being radically transformed from its natural condition into a human-made and human-determined form, a form which will change and constantly be remade according to criteria of economic profitability. There are still large parts of the Earth which are relatively empty of humans but even these parts are strongly influenced by the ant-like human activities in the settled areas and furthermore they are closely monitored and their perceived economic potential is always open to development. Further demographic and economic growth seem to lead inexorably to a situation of total global use and management of non-human nature, of continuous purposeful reconfiguration and reconstruction of the environment according to social and economic needs. Non-human nature becomes literally a social construct of human design. Non-human nature is still there, but on an ever larger scale it is transmuted and transformed into a humanely designed artefact.

When Bill McKibben lamented "The End of Nature" he thought of untamed, uncontrolled, autonomous nature independent from human design, of pure unspoilt nature not stained and marred by human pollution. McKibben's end of nature is parallel to and echos Nietzesche's death of God. We ourselves killed them both – and we will have to live with the consequences forever – only slowly becoming aware of what we did and what we lost. Now we are truly on our own, radically immanent in our own social world, suspended in empty space on spaceship Earth. The ecological crisis in this respect amounts to a metaphysical and moral crisis. Yes, the stars are still beyond us, transcending our human world and concerns, but they do this on such a distance and scale that they rather heighten our sense of metaphysical alienation and loneliness.

Of course, against such a nihilistic spaceship-ecology we can point out that real nature has not yet ended at all. How can it since we ourselves are natural organisms. And as the nature documentaries on our television show there is still plenty of relatively wild nature left. Even in our densely populated, intensively used and cultivated European landscapes if not truly wild then at least free nature still exists in many places. It is true though that the remaining wildlands and free nature everywhere need to be defended against human encroachment. Mostly that means that they have to be set apart in the form of reserves and parks, which then have to be monitored, managed and policed to protect them from poachers, extracting industries, poor people on search for land or tourists. But is wild and free nature that is protected against human infringement in reserves and parks not a contradiction in terms: such a contained nature is neither wild nor free anymore in the true sense.

It's metaphysical quality has fundamentally changed: from an overpowering, uncontained and commanding reality it has turned into a vulnerable charge of human care and protection. Can such a nature still curtail our human arrogance and teach us lessons in modesty and humility? Even more dubious is the metaphysical and moral meaning of wild nature which has been intentionally recreated from scratch according to an ecological blueprint.

Why do we or why should we care about the preservation of nature beyond its importance for our physical survival, for our well-being and for our enjoyment of it? What does it matter whether the nature we go to for our recreation and aesthetic enjoyment is truly pristine? Why do we or should we look in nature for answers to our metaphysical and moral quests? Isn't that the achievement of modern scientific enlightenment: none are to be found there. Nature does not speak, it is not a subject telling us nor a book in which we can read who we are and what we should do. Nature is mere object, brute and mute factuality. The meanings we think to find there are like the eastereggs we put there beforehand.

But then science itself undermines this harsh dualism between mute object and interpreting, meaning-giving subject by the theory of gradual evolutionary emergence and of our own naturalness. Paul Shepard makes the intruiging point that in so far as we fortunately have not yet domesticated ourselves by breeding humans selectively for certain chosen traits we are fundamentally still wild animals, belonging to the primate family. We have not risen above nature, emigrated from it and left it behind, no metaphysical or ontological gulf seperates us from the non-human others. It's only our arrogance and particularly our ignorance which make it seem so. We are not the only ones with eyes to see and ears to hear, we are not the only ones with views on the world and we are not the only ones signifying and communicating. There is a larger community of life to which we belong, family relations which we can repress and deny but which mark and define us nevertheless.

While our lifeworld and we ourselves are becoming more and more artificial and artifactual, scientific knowledge of the naturalness of our bodies and minds increases rapidly. In society the avid embrace of new technologies and artefacts competes with the embrace of all things natural in order to heal and soothe our ailing bodies and souls. We are torn apart between the siren song of technology and the siren song of nature. Where do we belong? Should we pursue the path to transcendence including the transcendence of ourselves as natural beings or should we somehow reconnect with and return to nature and our own naturalness? Should we rather colonize space or reinhabite the land? Should we rather warm us at the torch of the Promethean fire or at the camp fire? Or is there perhaps some middle ground where we can reconcile our human ambitions with the acknowledgment and celebration of our belonging to this natural place and its community of life, where we can have it all – the pulsating city-life, the restful countryside and the great wilds beyond?

Who are we and where do we belong? Ecology meets anthropology. We are natural beings but do we have a nature? Or are we by nature without a nature and consequently without a natural place, kicked out of the house (the oikos), alienated from the rest of the community of life and decentered in ourselves, at a reflective

distance from the world, from our experiences of it and our activities in it. This reflective distance, the excentric positionality as Helmut Plessner called it, forces us supposedly to an unending restless self- and world-making. Since we are by nature not yet anything determined we have to create ourselves and we have to create an oikos for that self. We can then either celebrate this as the great liberation from the prison of nature or lament it as the expulsion from home.

But maybe this anthropology of alienation and expulsion, of natural unnatural-ness and of unavoidable self- and world-fabrication serves only an ideological purpose: to justify or at least to excuse the coercion of civilization and the horrors of history. Maybe we are not without a nature at all and maybe it is not so difficult to spell out what this nature is in terms of what we naturally, i.e. universally as human beings need and want. To deny us such a nature or to make such a nature inaccessible is perhaps only an intellectual obfuscation by the elites, the rulers, the priests and the intellectuals, to protect their privileges and high self-esteem as world-makers and world-definers. Maybe the undeniable power of imagination, abstraction and reflection of the human mind as well as the plasticity of our needs only makes possible that we deviate from our nature like we are able to destroy our health and maybe civilization and its blood-drenched history is such a deviation from and distortion of who we really are. We were fully human long before civiliza-tion and history. If the ecological crisis worsens both may come to end. It may be then that the remaining humans will go native again with much less frustration and desperation about the loss of civilization and its comforts then is generally portrayed. Maybe they will eventually even rejoice of being able to return home, to their natu-ral place and their natural ecology. They will still be humans with undiminished power of mind. So they will have to curb and suppress through cultural institutions, social rules, rituals and sacred stories any inclination to subdue, conquer and remake the self, the other and the world.

Nature does not bother what we make of it – literally with our hands and machines, metaphorically with and in our minds. It takes it as it comes. Nor does nature bother what becomes of us, whether we live in giant conurbations or in small tribes in the bush or whether we continue to exist at all. It's neither a caring mother nor a stern father. Its indifference, of course, is itself neither stoic nor cold-hearted, nature is not a moral subject. Nature is a collective term, a container term, for the sum of all natural phenomena, processes, wholes, collections, in its widest and most empty use for all there is, as a contrast term for all that is not artificially made by us humans. We distinguish ourselves from nature through culture and moral norms for culture. While non-human nature is amoral we are moral beings. We have eaten the forbidden fruit and know of good and evil. When we apply this knowledge and the ideals of peace and caring love onto nature we are shocked by its absolute indif-ference to all suffering, the complete absence of compassion, the prevailing egocen-trism, the cruelties and violence. Nature is a mirror image of the horrors of war, of aggression, brutality and torture. We know that the participants in this murderous natural economy of unending violence and bloodshed are not be blamed because they are programmed to behave like they do, they are unable to morally reflect on, evaluate and change their behaviour. The lion cannot decide to abstain from the

consumption of meat because he cannot understand that hunting and killing a gazelle is not very nice to the gazelle. Individual lions therefore are not morally evil but nature as a whole is an empire of nonmoral evil: it offends our moral sensibilities, it should not be like this and therefore, whenever we have a chance and possibility to diminish the bloodshed and violence we are morally obliged to intervene.

Nature lovers, ecologists and ecophilosophers who argue for ecocentrism and the inherent value of nature are abhorred by this self-righteous and patronizing moral evaluation of nature. Who are we to judge and condemn nature? We project our human concerns and failings onto nature and picture predators as ravenous murderers and prey animals as innocent victims in need of our protection. Then we feel legitimized and even called upon to subdue wild nature, to make it tame and safe and cultivate it. Furthermore, our own human evil can be excused as being due to our not yet fully humanised natural drives and instincts, to the not yet completely tamed animal in us.

All of this seems wrong and self-serving. First of all, wild nature is not a killing field, an ecological warzone. Besides the violence of predation, the sometimes aggressive competition for food, rank and mates and the destruction by large-scale natural forces like floods and fires, hail and snow there is a lot of love, peace and happiness, of peaceful cooperation, symbiotic relationships, even of altruism in nature. Of course, these are again words for human experiences and relations, for human goods which we use to interpret perceived behaviour of non-human beings. But with as much right as we can find nonmoral evil there we can see nonmoral good in nature.

And if we look at nature as a whole, as a system or a community of life, we are impressed by its overall coherence, the profusion and exhuberance of life, its richness and diversity, the marvellous complexity and intricacy, the might and grandeur besides the often humorous idiosyncrasies of the different lifeforms. Nature as this whole is a generative matrix in which all of life's struggle, suffering and joy in conjunction with the non-living environment, elements, processes and forces resists the law of entropy and sustains life, increases its richness and diversity and unfolds it in ever new directions. Our own species is but a leaf on this tree of life.

Can we make sense of nature, of non-human otherness and non-human others? It is often difficult to understand fellow humans, what their feelings, thoughts and motives are. We cannot look into their minds and hearts. And we are often und perhaps ultimately always a mystery to ourselves. "Who am I?" and "Who are you?" are questions with no final answer. And how can we make sense of us and our history with all its achievements and atrocities?

Non-human others and otherness, however, are impenetrable and opaque for us in an even more pronounced sense. Only of the behaviour of certain animals we can make sense analogously with other humans in terms of feelings, thoughts and motives. Of the behaviour of other animals and plants we try to make sense in terms of unconscious striving and telos. But we always have to be aware of the possible illusion of an anthropomorphizing projection. Non-human otherness can and should neither be reduced to a variation of the human other nor can and should it be trivialized into the otherness of a mere object. It has depth in which meaning

resides and out of which moral appeals are issued. We have to make sense of it, some sense. For the sake of nature as well as for the sake of ourselves. Because the understanding of non-human otherness and of ourselves is inextricably intertwined.

We can, of course, study nature objectively, as a pure *res extensa*, without depth, making us purposefully blind for it. As Husserl showed, this is an abstraction from the fullness of our experience and the concrete reality of the lifeworld. This lifeworld is first of all a world of human sense and meanings which are incarnated in cultural artefacts like monuments, texts and tools, in institutions and in traditions. Such meanings are pregiven, they have to be appropriated, understood, interpreted, articulated, communicated and passed on. In the course of this appropriation, articulation and communication they change and regularly new meanings are instaurated while others are forgotten. In the lifeworld non-human nature is another domain of pregiven meanings which, however, did not originate in an original human instauration. Their ultimate origin is a mystery, our original and primordial experience of them is feeble and not much more than an inkling of some larger context pregnant of meaning, all else is our effort to interpret and articulate and bring into sharper focus what is unmistakably meaningful in a non-human sense.

To experience nature as meaningful even when without meaning in human terms is to have a moral and even a religious experience of nature as something to be respected in the depth and in the sanctity of its otherness. We are not the only locus and instaurator of meaning, there is a larger context and frame of meaningful existence which surpasses our local human meanings. We can turn a blind eye to it, suppress our experience of it and deny it and declare nature to be a mere object and useful resource. We can also articulate it in bad faith as an empire of evil in order to legitimate our assault on it or we can idealize it as an arcadian idyll. Its meaning, however, is not clear cut, but rather deeply ambiguous, impenetrable, suggestive and mysterious. It needs to be handled with care and circumspectively, i.e. respectively and humbly. There is no final truth, triumphant and absolute certainty to be had here. We can draw near to its evasive truth only if we "listen to the land" and try to "think like a mountain" and then look for appropriate words to articulate our experiences.

There are, of course, very different experiences of non-human nature depending on the historical, cultural and ecological context and the different ways of life. Foragers who make their living in wild nature and urban tourists who admire natural scenery from behind the window of a car or a coach will have radically different experiences of nature. It is obvious that like all experiences our experiences of nature can be graded according to their richness and diversity, their fullness, depth and intensity. It is equally obvious that active bodily involvement and practical engagement will enrich the experience and enhance its depth and intensity. It will, however, make a fundamental difference whether we are involved and engaged in the form of primary production, i.e. whether we make a living in and from nature by hunting, fishing and gathering, gardening, farming or herding or whether we are only a temporary visitor. Even if we chop wood, hunt, fish or gather, tend a garden and raise animals as long as we don't live from it, the involvement and engagement has a certain recreational, playful and imitative character, it lacks full ecological seriousness.

An interesting new form of nature experience are the experiences of the ecological fieldworker, the environmentalist who takes care of a natural place, who observes and studies the ecology at close perceptual range and goes out with his ax or his gun to conserve the integrity and ecological viability of that place, i.e. by weeding and culling invasive species of plants and animals or who even tries to restore a mutilated and impoverished ecosystem. This work has its own kind of ecological seriousness, but the experiences involved will be different in scope and focus, in emotional colour and tone than the ones involved in making a living in and from nature.

Can any of the different kinds of experiences of nature be privileged as being closer to the heart of nature, to its evasive meaning? Paul Shepard argues that only the primordial experiences of the paleolithic foragers, the wild mind who owes its growth and maturity to the consummate attention to the wild non-human others, to their affinities and differences with and from each other and with and from us, to their presence and absence in the wild terrain, their paths and traces, communications and interactions, that only these experiences ground a metaphysics by which we can abide as respectful members of the community of life.

Along similar lines Gary Snyder claims that experiences of wildness are essential experiences, they teach us about the wild essence of the world and ourselves: "The world is nature, and in the long run inevitably wild."[1] Our bodies and our minds are equally wild. "The conscious agenda-planning ego occupies a very tiny territory, a little cubicle somewhere near the gate, keeping track of some of what goes in and out (and sometimes making expansionist plots), and the rest takes care of itself. The body is, so to speak, in the mind. They are both wild."[2] The "lessons of the wild" teach us about "the play of the real world, with all its suffering, not in simple terms of 'nature in tooth and claw' but through the celebration of the gift-exchange quality of our give-and-take. 'What a big potlatch we are all members of!.'"[3]

At the heart of the question of the meaning of nature and of the ecological crisis we find in Snyders terms "the dichotomy of the civilized and the wild", the world of exclusively humanly constructed or instaurated meaning and the world of pre-given, non-human and wild meaning. There is a deep-seated desire, though often suppressed and denied, for being delivered from the arbitrariness, relativity, ephemerality and contingency of our only human meanings, values and projects and for the experience of a more substantial and encompassing, more enduring and more trustworthy reality. There is the nagging suspicion which in some of us can crystallize into an intuitive certainty that civilization as we know it leads us astray and away from life, truth, essence and reality, imprisons us in the narcissistic mirror cabinet of our minds and reduces nature to a resource, a construction site, a dump or a wasteland.

Thoreau's famous bumper-sticker statement "In wildness is the preservation of the world" means that we have to resolve the dichotomy between the civilized and

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[1]Gary Snyder, *The Practice of the Wild*, North Point Press, New York, 1990, p. 5.
[2]Ibid., p. 16.
[3]Ibid., p. 19.

the wild and humbly acknowledge the larger, albeit always evasive and ambiguous truth of what brought us forth, sustains us and is us. Otherwise we will probably become insane and destroy the world.

Why are we destroying the natural world? Inspite of all our historical experiences, our knowledge, our technical ingenuity and accumulated wisdom. "We," however, is a tremendous multitude of more than six billion people who are deeply divided by class, wealth, power, race, culture, religion, nation etc. More than half of this human multitude lives in cities and conurbations by now. They are often confronting pressing environmental problems of a lack of safe water and sanitation, of clean air, of a lack of fuel for cooking and heating, of congestion and of violence. How many people can afford to be concerned about the preservation of wild nature? Only those who directly depend on it for their living and those who are wealthy enough to not have their attention completely preoccupied by the concern for satisfying their vital needs.

Our human economy depends in various ways on the economy of nature, on its products and services. Just as we can substitute labour by capital we can substitute some of the natural products and services by capital but there are evidently limits to this substitution. We might do without oil but to substitute water or air and their vital services is unimaginable. This then is the default line of the argument for environmental protection: to draw down only those resources and diminish those natural services which we know we can reliably substitute by capital. The complexities and uncertainties of the real world, of nature as well as of human society, make such a principle, however, almost worthless. It is the inherent problem of all purely pragmatic arguments for environmental protection that all factual ecological and economic claims in such arguments are open to interminable contestation by interested parties.

We cannot destroy nature as such, but if we set our mind to it we could probably destroy all so called higher life on this planet. We certainly can destroy and are in all likelihood actually in the process of destroying the interglacial natural environment of the past ten thousand years which is the environment in which our species rose to prominence in the earthhousehold.

Why should we protect and preserve that specific environment? Because it is the natural context and condition of our flourishing? We certainly flourished in terms of numbers and in the expansion of our material culture but did we equally flourish in terms of maturity, wisdom, self-realization, compassion and love?

Why should we not part from that old natural environment that has served its purpose and move boldly into a postnatural world of human or perhaps posthuman making? Maybe we can preserve then a few specimens of old nature in nature parks, reservations, landscape museums and zoo's for entertainment and historical instruction.

What is wrong with these kind of questions? They seem too abstract, too arm-chair intellectual, too far removed from the concreteness and thickness of living in the world with human and non-human others. Their scope is too large, they give a false sense of intellectual mastery, of standing above and overseeing the whole drama of natural evolution and human history. "In the end we are all dead individually

and collectively. Over five billion years or so the earth will be swallowed by the expanding sun, with all life wiped out." From which it is supposed to follow that nothing really matters and that nature is a bird for the cat in any case, whether we preserve it or not.

From Shepards's viewpoint such questions and statements pretend to be philosophical but they are only attesting to our alienation, immaturity and lack of earth-grounded, indigenous wisdom. By the imagined superiority of our scientific and historical knowledge and the power of our abstractions we have catapulted us out of the living tissue of the world, out of our body and our body–mind, to become free-floating Cartesian intellects who are hungry for love, connection and meaning but who heroically or rather pathologically have to press on to prove that nothing matters, that everything is relative, that nature is disposable, that God is dead, that reality is fiction, that the self is an illusion, that our bodies should be replaced by something more efficient and durable and our minds should be technologically enhanced. The arrow of progress points away from earth, nature, life, body and away from technologically unmediated perceptual experience and pleasure.

We more than ever need non-human otherness, nature free and wild, authentic and autonomous non-human others to save us from this madness. And we need them not at a distance, on our television screens but in our immediate vicinity, we need to have direct multi-sensuous experience of them. We have to reconnect as much as possible with this larger context, community of life and intersubjectivity. It will welcome us on its terms which we should acknowledge and respect gracefully and humbly. The more we grow back into this community of life, the more we experience intimations of its evasive meaning and the more we ponder on its mystery and try to articulate its meaning in metaphysical stories, rituals and ethical etiquette the more we will be able to come into our own, to become whole and integrated persons, connected and grounded, loving and celebrating the gift of life and rejoicing in the great potlatch. Indeed, in wild and free nature then is the preservation of the world and the sanity of our minds.

Is this naturalism or romanticism or "deep ecology" which flirts with primitivism more than a regressive faith? Yet once more and once again we seem to be called upon to return to nature and to follow the path of the noble savage. There may be those who cannot or think they cannot live without close and everyday contact with free nature but there are many others who can or think they can do without it, who love the city-life, revel in culture and find the countryside or nature extremely boring. And practically if all the urbanites would suddenly feel an urgent need to reconnect with nature by not only driving, biking or walking through it but by going native and actually living in it, nature would not survive this universal conversion to its wisdom. The rewilding of humanity, of civilization and of the earth, its reinsertion into and reconciliation with the larger community of life could proceed only gradually and probably would take a few hundred years. Simply because one of its preconditions would be a drastic reduction of our numbers to maybe only half a billion or even less people. It is not a foregone conclusion, however, that such a rewilding would have to mean the return to a primitive human ecology and the end of civilization, of high art and hot showers. But so far there does not exist a significant political party or

movement that champions such a rewilding of humanity and as its most important precondition a radical demographic contraction. Still, as we pointed out, the belief in the therapeutic and salvational power of nature and the natural is widespread even if the dichotomy between civilization and wild nature is deeply entrenched, the first being our home, the second being the home of the wild nonhuman others. We don't belong there as they don't belong here. At most some of us can pay them a visit once in a while taking a camera with them so that we can watch them from a safe and comfortable distance. The rules of the game are totally different in the two worlds: moral in our world, biological and amoral in their world. But the more our own wildness is encased in the straight-jacket of civilization with its demands and regulations, the more wild nature becomes a symbol for uninhibited freedom.

With regard to the ecological crisis and our relationship to the more-than-human world we are, it seems, at a crossroads with four directions to choose between. First, we can try not to worry too much, to muddle on and muddle through, to comfort ourselves that somehow we and the world will be alright, to take it as it comes and to enjoy as much as possible whatever life has to offer. Second we can embrace whole-heartedly and enthusiastically a promethean and futurist stance: paradise-making by human ingenuity is still a viable project, let's not loose faith at the very moment that science and technology open up radical new possibilities of remaking the world and ourselves. As William McDonough and Michael Baumgart argue in their eco-futurist manifesto *From Cradle to Cradle* the body mass of all the ants of the world is greater than the human body mass but inspite of their industriousness ants don't destroy nature they rather enrich it. With appropriate technology and design, they claim, humanity can be like antity. No need to scale down the human economy, no need to stop procreating, no need to convert to universal ascetism, don't worry about the size of the ecological footprint, when we make sure that our garbage isn't garbage anymore but an endlessly renewable technological or natural resource we can all live to the fullest and be infinitely wealthy and rich while preserving and nurturing nature at the same time.

Even more radical dreams are dreamt by trans- and posthumanists and other technopians. They are not really very fond of nature and in particular not of our own nature. For them nature does not mean life and flourishing but rather death and decay. Nature is a cruel mother, it gives life only to take it away and its death-dealing involves suffering in a thousand of horrible ways. They can't understand why this huge torturing and killing machine of nature ought to be sacred and command our moral respect. We should rather resist and fight it, stand up to it and say no to death and decay, to inherited biological limitations and suboptimal functioning. Now that powerful new technologies open up the real prospect for overcoming many of our biological limitations, to eliminate disease, to enhance our mental capacities, to brighten our mood, to give us much more life, viguour and health we should not make peace with nature but rather escalate our assault on it.

The spiritual version of this materialist path of transcendence is the third option. We overcome death, decay and suffering not by technological manipulation but by enlightenment. Instead of enhancing our mind by technological intervention into genes and brains we develop our consciousness by spiritual techniques and practices.

The world, claim the propagators of spiritual transformation, needs and awaits a spiritual revolution which ankers the material world and ourselves in a deeper and ultimate spiritual reality. We need to overcome the "flatland ontology" (Ken Wilber) of a gross materialism and conceive of nature and of us as temporary manifestations of spirit. The world of forms is transient, it has a depth which is more real and our ultimate concern and purpose is to become a self-conscious and transparent manifestation of this depth and ground. As a species we are privileged to be able to raise above nature and to identify consciously with the ultimate ground, in order to enjoy the infinite bliss of our union with it.

There exist in our modern world countless forms and varieties of this venerable tale of spiritual transcendence and millions of people are trying to walk the spiritual path. However, environmental destruction, social injustices and violent conflicts don't seem to find too much resistance so far by these well-intentioned efforts at spiritual renewal and transformation of humankind.

And so finally there are the lovers of nature and finitude. They do not look for a way out of nature, they are not hungry for transcendence, their way of redemption is the way into the immanent depth and mystery of nature. We are animals and we should be proud of it! And we belong here, on Earth and in this community of life, we are in the words of Aldo Leopold "biotic citizens" and we should behave accordingly. This place is not ours alone, we should make room for the others, plenty of room so that they can all live according to their own lights. We should not strive to take control of the whole community and its further evolution. And we should not strive to take complete control of our own nature and turn ourselves into artefacts. We are really not so smart as all kinds of technopians think we are. As long as we are humans we need the larger community of life for our physical and spiritual sustenance. Can we really imagine what it would mean to be a non-organic, posthuman existence with eternal health and life?

Closer at home the trajectory of cultural development seems to point in the direction of a planet which has totally been made over by humans, a global conurbation with bits and pieces of old nature left in parks and zoo's and flora and fauna adapted to and shaped by the artefactual human world. In such a world we are biotic overlords rather than biotic citizens. Maybe, however, nature would not be completely trivialized and loose its meaning in such a world, maybe nature would be even more mysterious and wonderful in its quiet resilience and adaptability when certain plants and animals all of a sudden find a niche to survive and flourish in downtown.

Right now, however, the whole ark is under threat by climate change and the further expansion of the human household. Day in, day out several, mostly unknown species are going overboard. World-overshoot-day comes earlier every year. Something has to be done to stop the bleeding. Ecologists claim that only if we recognise fully that Earth and its community of life is the only world and home we've got and that there is nothing more real than this world, will we take the necessary measures to protect it, even if that means to sacrifice many of the comforts we have grown used to.

We have to be particularly wary of the eco-futurist fairy-tale of joyfully "designing" us out the ecological crisis. The design revolution proposed as a painless solution of the ecological crisis professes the modern faith in the salvational power of our technological ingenuity. That faith is not to be trusted anymore. The real battle ground is human psychology, conscious and unconscious motivations, meta-physical beliefs, axiologies and ethical ideals. The more-than-human-world is the always elusive but quietly persisting counterpoint in our human search for meaning and direction.

Modern Technology and the Flight from Architecture

Timothy K. Casey

As a graduate student at Duquesne University in the 1970s, I had the good fortune to study phenomenology and Continental philosophy of science with Lester Embree. In seminars that covered both the human and natural sciences I was exposed to philosophical issues and problems – primarily in the works of Alfred Schutz – that continue to shape and influence my research and teaching. When I asked Embree to direct my doctoral dissertation, he suggested I consider writing on a related field of studies that was then emerging in philosophy and other disciplines as arguably equal in importance to philosophy of science. After immersing myself in the works of Hans Jonas, Don Ihde, and Edward Ballard, I became convinced that the burgeoning philosophy of technology was in fact the logical outcome of my philosophical concerns, which had revolved around the occlusion of the lifeworld in the wake of the undeniable successes of the natural sciences since Galileo.

During the course of writing my thesis, which followed the development and transformation of the concept of *techne* from the Greeks to Karl Marx and Martin Heidegger, it became clear to me that the modern industrial revolution could in fact be traced to the largely neglected industrial revolution in Northern Europe during the Middle Ages. For even at that early time one can discern a shift in the practice, if not in the philosophical understanding, of technology, a change that initiated an increasing focus on the technical processes of manufacture. This meant that technology was already breaking free of the religious and political restraints traditionally placed on *techne*. The ontological dimension of technology began to seem less relevant than issues of efficiency and productivity. The fact that the measure of technological success had changed from qualitative to quantitative criteria was of enormous significance for the new Galilean science, as well as for our understanding of the roots and motivation that lay behind that revolution in scientific theory.

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My study of the history of technology, which Embree especially encouraged (we both became enthusiastic readers of Lynn White, Jr.,[1] the eminent historian of medieval technology and early environmental thinker and advocate), led me to Lewis Mumford, another American historian also well known for his work on the cultural and historical implications of medieval technics.[2] As it turned out, Mumford introduced me – almost by accident – to the history and philosophy of architecture, a topic that slowly took center stage in my thinking and that I have pursued as integral to my philosophical understanding of technology.[3] Having "discovered" architecture in this fashion, I remain convinced that it is essentially a technological undertaking and therefore approach it as having an equipmental sense, in addition to its artistic dimension. Early in my investigations it also became evident to me that the modern concern with the question of method in such thinkers as Descartes and Francis Bacon reflected the transformation of technology into something exclusively technical, a move that was contemporaneously initiated in architecture with the search for a mathematical *ars fabricandi* that could be formulaically applied to design and construction.[4]

But there is much more to the story than this. Architectural design began to break away from engineering in the middle of the eighteenth century and inaugurated a split that was to prove fateful for architects and architecture by the end of the nineteenth century.[5] This separation – which amounts to a clash between technology and art – laid the groundwork for the competing theories of functionalism and aestheticism in the early days of architectural modernism.[6] Even more important, the modern industrial revolution gave rise to building types requiring new forms, spaces, and materials, all shaped to new uses and new forms of life. Very little in the tradition prepared architects for the tasks of designing railway stations, grain

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[1]See Lynn White, Jr., *Medieval Technology and Social Change* (London: Oxford University Press, 1981); *Medieval Religion and Technology: Collected Essays* (Berkeley: University of California Press, 1978).

[2]See Lewis Mumford, *Technics and Civilization* (New York: Harcourt, Brace, & World, 1963).

[3]Mumford was for many years the architecture critic for *The New Yorker* magazine. His essays for that publication can be found in *From the Ground Up: Observations on Contemporary Architecture, Housing, Highway Building, and Civic Design* (New York and London: Harcourt Brace Jovanovich, Inc., 1956).

[4]See Alberto Perez-Gomez, *Architecture and the Crisis of Modern Science* (Cambridge and London: The MIT Press, 1983).

[5]Kenneth Frampton writes that the parting of the ways between engineering and architecture "is sometimes dated to the foundation in Paris of the Ecole des Pontset Chaussees, the first engineering school, in 1747." Kenneth Frampton, *Modern Architecture A Critical History* (London: Thames and Hudson, 1992), p. 8.

[6]Hannes Meyer describes the divorce between art and technology in no uncertain terms: "All things in this world are the product of the formula (function x economy), all these things are therefore not works of art. All art is composition and therefore useless. All life is function and therefore unartistic." Quoted by Christian Norberg-Schulz, *Principles of Modern Architecture* (London: Andreas Papadakis Publisher, 2000), p. 15.

elevators, department stores, office buildings, shopping arcades (today enlarged into malls), vast exhibition and market halls, and large-scale factories. Finally, by the nineteenth century architectural design was faced with the problem of incorporating into new and older structures mechanical devices such as modern heating and cooling systems, indoor plumbing, elevators, electric lighting, and other mechanical equipment. To accomplish these new undertakings architects utilized new materials – steel, plate glass, and reinforced concrete, to name the most important ones – as well as new construction techniques that facilitated both an increase in the scale of buildings and a lightness and openness of form that came to define the look of architecture in the twentieth and twenty-first centuries.

We see here many of the elements that coalesced into what later became known as the "machine aesthetic" and the controversial notion of the modern dwelling house as a "machine for living in." The rather sudden appearance of new kinds of structures, technological appliances, and industrial building techniques gave an immediate cachet to the idea that buildings are essentially machines and hence part of the new industrial complex in which art, if it was to be relevant at all, must serve the new gods of technology and the profit centers of industrial capitalism.

From out of this radical transformation of the ends and means of architecture arose an eclectic historicism, a step backward that resisted the reality behind Marx's well known take on modernity: "All that is solid melts into air." A wide array of traditional styles – Greek and Roman, Romanesque and Gothic, Renaissance and Baroque – were arbitrarily employed, as architects turned away from what was happening right under their noses. Taking refuge in the tradition was the safe play, as can be seen, for example, in the adaptation of neo-Classicism to a bourgeois, imperialist style often associated with social and political oppression at home and abroad. At the same time, however, engineers were in the process of creating an industrial look announcing the destruction of traditional values and ways of living. It was against the wild eclecticism of the nineteenth century and the refusal of architects to see what had become apparent to engineers that the early modernist architects reacted so vehemently, arguing – shouting, really – that historicism was at bottom a "lie," a prettification and hence falsification of a world that was now ruled by objective reason and permeated by complex technological devices.

In short, by the turn of the twentieth century it had become more than obvious to forward-looking architects that historical and even vernacular architectural forms and spaces were incongruous with the new industrial age. Given the sheer arbitrariness of the range of building types that cropped up in reaction to the industrial revolution, it is hard to deny that the modernist "pioneers" were right. And though much of modernist architecture in the twentieth century has been a failure, it is an understandable failure, and one we have much to learn from. In its early, "orthodox" phase, which lasted until the end of World War II, architectural modernism took seriously the fundamental aim of any good architecture, which is to create forms and spaces conducive to living in the world in which it finds itself. The world that was presented to these architects was, without question, a technological world. Their charge was to reflect this basic fact in the creation of places that would situate their

contemporaries in the new industrial and scientific age we now loosely call modernity. The story of orthodox modernism is thus the search for a style that mirrors and helps justify the technological character of the new world order. To accomplish this demanded nothing less than the invention of an aesthetic that would give industrial technology its due without letting it obscure or erase the artistic dimension of the architecture itself. The challenge, in other words, was to rescue architecture from being swallowed up in feats of engineering and a functionalism indifferent to aesthetic requirements.[7] The modern movement sensed the need to incorporate the new technology into its art without letting itself become – to borrow an expression from the Czech novelist Milan Kundera – "the brilliant ally of its own gravedigger."

Lewis Mumford identified this problem in an American context in observing that "Through mechanical reorganization of the entire milieu, the place of architecture has become restricted …."[8] That is to say, by means of a standardization of the building process architecture increasingly gave way to engineering in the nineteenth century and retained "a precarious foothold as ornament, or to put it more frankly, as scene painting."[9] Now it is true that there has always existed an inherent and healthy tension in architecture between the function or use of the work and its look or outward appearance (what the Greeks called *eidos*). Unlike other visual arts, architecture is made to be lived in and not just looked at. Hence it cannot – without harmful consequences – be treated as simply another fine art. The fundamental problem facing any architecture is the reconciliation of form and function, a task that arises out of the dual and seemingly contradictory character of the work as equipment and art object.

Orthodox modernism reduced this conflict to a choice between functionalism and aestheticism. This dichotomy arose out of a new and dynamic milieu in which art had no real place, a fact to which Hegel (for admittedly different reasons) had pointed almost 100 years earlier in his lectures on aesthetics. Hence the conundrum that architecture faced in the nineteenth century: to create a new style that reflected the technological spirit of modern life – a life, however, that in its orientation toward economic and technical models was perceived, rightly or wrongly, as hostile to the impractical and unprofitable. The historian of modern architecture, Kenneth Frampton, tells us that for the last 100 years architecture has had to deal with the harsh realities of the industrial revolution and, as a result, has been party to a larger bourgeois phenomenon that has oscillated between industrial utopias, on the one hand, and a return to pre-industrial idylls, on the other.[10] And the problem only deepened with the rise of consumerism and the proliferation of the automobile. This is not to say that architecture was only a bit player in this drama. As is well

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[7]See Theodor Adorno, "Functionalism Today," in *Rethinking Architecture: A Reader in Cultural Theory*, Neil Leach, ed. (London and New York: Routledge, 1997), pp. 6–19.

[8]Lewis Mumford, *Sticks and Stones: A Study of American Architecture and Civilization* (New York: Dover Publications, Inc.), p. 72.

[9]Ibid., p. 79.

[10]Frampton, p. 9.

known, architectural modernism came to mimic and even celebrate the emphasis in technology on technical process and productivity, the new criterion of technological success. The growing importance of the engineer was the most obvious sign that a new understanding of technology was already well underway.

It is against this historical background that we must understand the significance of the modernist dictum "form follows function," a slogan introduced by Louis Sullivan, the late nineteenth-century Chicago architect and mentor of Frank Lloyd Wright. In this imperative we have the beginning of a functionalistic/technicistic strain in modernism that alarmed architects like Wright because of its perceived hostility to the artistic dimension that traditionally separated architecture from other technologies, though not completely, to be sure. Nevertheless the American turn toward industrial forms and mechanical systems soon manifested itself in European architecture in the years leading up to World War I. The most telling development on the continent was the appearance of Futurism, a primarily Italian movement that glorified and worshiped technology for its power, speed, and intrinsic aesthetic possibilities. Under the growing influence of theorists like Antonio Sant'Elia and Filippo Tommasso Marinetti, architects yearned for a time when buildings would be designed and constructed along mechanistic lines, thus embodying the technical virtues of efficiency and precision through the adoption of the sleek and shiny look of machines. The artistic element in architecture, as the Futurist manifesto of 1914 argued,[11] was to be guided by the spirit of mass production and the ethos of a consumer culture in which Henry Ford's Model T personified the ephemeral character of products built to last no more than a few years at most. For Sant'Elia and Marinetti, the technological challenge presented to the modern artist by this new situation was the establishment of "new forms, new lines, new reasons for existence, solely out of the conditions of modern living and its projection as aesthetic value in our sensibilities."[12] Similarly in the Bauhaus (1919–1932), art was asked to express the purely functional – which in architecture came down to what could be standardized and mass produced. Form was now derived from efficient methods of production and not from human life as it is lived.

At one level the apotheosis of the engineer and the standards of an exclusive technicism led inexorably to the rejection of most of architectural history and tradition. The belief was that architecture must begin anew with a virtually blank slate, its sole interest being the creation of a new aesthetic consonant with an emergent machine age. In the hands of modernists like Ludwig Mies van der Rohe, for example, architecture became the articulation of an objective reason that eclipsed questions of taste or preference of the individual artist. In Mies's own words, "Technology is far more than a method, it is a world in itself."[13] Here, technique not

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[11] Antonio Sant'Elia and Filippo Tomasio Marinetti, "Futurist Architecture," in *Programs and manifestoes on 20th-century architecture*, Ulrich Conrads, ed. (Cambridge, Mass.: The MIT Press, 1971), pp. 34–38.

[12] Antonio Sant'Elia, *Messaggio*, quoted in Frampton, p. 87.

[13] Ludwig Mies van der Rohe, "Technology and Culture," in Conrads, p. 154.

only becomes an end in itself but is raised to a metaphysics in which a world coalesces and comes to expression in mass, surface, and space. The aim of this architecture was to articulate the lineaments of that world. According to this revolutionary approach, modern technology, not embodied humans, was to take center stage as the measure of space and time. Out of Futurism, in particular, there arose a fascination with the industrial city and the hope it would be populated with modern structures built on the model of giant machines.

We now see that the accelerated rate of change that accompanied the new technologies contributed significantly to the wholesale ditching of the architectural past by some, especially after the stylistic chaos of the nineteenth century. The problem with previous building styles was that they seemed to have so little to do with the spirit of a time and place defined by its scientific and industrial techniques. The "styles," as they were called, represented a hierarchical world where everything had its value according to its natural place in the hierarchy. Modern technology, in league with modern science, shattered this elitist scheme and disenchanted the world that lent it support. Futurism, it is also clear, heralded the creation of a new kind of human being, one so drunk on the sheer power of modern technology that industrialization and economic progress could only feel like a liberation from the ash heap of history and its centuries of misery, unhappiness, and oppression of the many by the privileged few. Traditional architecture had come to be associated with injustice, and its various styles understandably became anathema if architects were to lead the way to a progressive, modern culture devoted to Enlightenment ideals and the completion of the political agenda set in motion by the French and American revolutions. The monumental and the historical were to be rigorously rooted out, giving way to structures inspired by the new American landscape of industrial buildings and cities organized along the lines of commerce and the geometric grid.

Initially political transformation in the form of a kind of social engineering provided the motor force behind the new architecture. By 1900 the old architecture had become a symbol of inequality. Most important, this association with the *ancien regime* led to a suspicion surrounding the use of any kind of ornamentation. In its place Futurist architects and others of their ilk argued for a functionalized environment devoted to hygiene, natural lighting, and an architectural openness, all of which were intended to encourage a transparency of living increasingly made possible by the invention and widespread use of plate glass. The capacity of sheet glass to embody the Cartesian ideal of self-transparency came into its own not accidentally but against the backdrop of the modern technological urge to organize human life along rationalist lines and so to dispense with its previously intractable messiness and indeterminacy. Traditional cities and urban living became the prime target of the modernist intolerance of dirt and disorder. This gave the material of glass an importance it had not had since the age of medieval cathedrals. Thus the new architectural rationalism came to fruition in Mies's ideal of the "pure and glittering prism" that we know today as the steel and glass skyscraper and its more modest cousin, the glass house.

In sum, the modern architectural movement grew out of a culture energized by the new technology of mass production and committed to the rationalization of

human life in all its permutations. This involved the creation above all else of a way of life obsessed with social hygiene and technologies that could make it a reality. The lyric poet of this revolutionary ideal was Le Corbusier, the Swiss-born architect whose melding of Plato and Descartes was destined to affect – for better and for worse – architecture on a planetary scale. Though Corbusier ultimately wavered in his worship of machine culture, his early architectural designs and writings soon became iconic and represented a watershed finally sealing off a return to the kind of historicism that dominated the previous century.

Corbusier's *Towards a New Architecture*,[14] published and translated into English in the 1920s, remains today the most cohesive and powerful expression of the intentions and *philosophical* assumptions associated with the early modern movement. It is certainly true that orthodox modernism officially lasted only a few decades, but it would be foolish to pretend that its influence is over or even on the wane.[15] *Towards a New Architecture* is thus worth close philosophical scrutiny and not just the perfunctory summary usually accorded it. For in this small but provocative book Corbusier builds on the principles first enunciated in Futurism and other modernist manifestos leading up to the 1920s and lays out in simple prose an architectural vision as influential today as it was almost a century ago.

Towards a New Architecture spells out the ideas behind what came to be called the International Style, a moniker conferred in 1931 by Philip Johnson and Henry Russell Hitchcock on a nascent architectural movement defined by its pretensions to embody a way of building that rose above the contingencies of place and time. The ahistorical and acontextual character of this architecture was alleged to be the perfect expression of a technological spirit that was to put an end to history and the deleterious influence of custom and tradition, and that was to do so on the basis of timeless, geometric truths inspired by Platonism and modern rationalism.

The key to this style is its blend of geometry with the look (*eidos*) of modern industrial products. Corbusier's book – as quirky as it is brilliant – weaves into the text photographs of steamships, automobiles, airplanes, and other icons of modern life clearly presented as a pictorial argument that items such as these were to serve as the inspiration of a new aesthetic: the "machine aesthetic." But more than this, the mix of Platonic and Cartesian elements in Corbusier's thinking makes obvious at this early date the modernist intention to combine the objectivity of scientific reason with Greek metaphysics as the foundation of an architecture whose initial – though not ultimate – appeal was primarily to the human eye. Corbusier was, on this basis, to spread his influence over subsequent architectural theory and practice by establishing in philosophical terms the superiority of form over function, the aesthetic over the merely utilitarian. At the center of orthodox modernism we find an aesthetic philosophy articulated by Corbusier in a style as simple as it is

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[14]Le Corbusier, *Towards a New Architecture* (New York: Dover Publications, Inc., 1986).

[15]Norberg-Schulz's *Principles of Modern Architecture* argues for the continuing relevance of specific modernist ideas and principles, e.g., the free plan and its erasure of traditional boundaries between inner and outer spaces.

far-reaching. It is not surprising that this philosophy of building and design has lasted now into the twenty-first century and shows no signs of slowing down, despite periodic claims over the years of its imminent demise. In fact so-called postmodern architecture, which promised to lift us out of the modernist rut, has turned out to be nothing more than a minor development within modernism itself, scuttling geometric exactitude, to be sure, but nonetheless confirming the machine look, as is readily apparent in structures like Frank Gehry's Guggenheim Museum Bilbao and Santiago Calatrava's Planetarium, City of Arts and Sciences, also in Spain.

Characterized by some as pure propaganda, *Towards a New Architecture* is in truth more than an ideological tract. It effectively sums up the case for the modernist neglect of the functional side of architecture. Paradoxically this neglect is extended to technology itself. According to the architectural critic Martin Filler, one of the "greatest ironies" of Corbusier's oeuvre "is that this idolater of technology had such trouble in making it work for himself," leading him to conclude that "Le Corbusier's infatuation with mechanization"[16] was indeed Romantic, a fact that would suggest Corbusier understood little about modern technology and even less about how to incorporate it into his actual designs. The irony of the situation is patent, of course, inasmuch as the modern movement has always been associated with the glorification of the machine and the modern industrial revolution. It was Corbusier who gave voice to this irony by showing that one answer to nineteenth-century eclecticism and historicism was to mimic the look of machinery, without incorporating technology into his designs in any practical or meaningful way.

The reasons behind this exceedingly odd situation are complex. Inspired by the universal laws of nature uncovered by modern science and applied in modern engineering, Corbusier delineated an architecture that aspires to be universal in character and to be as precise and clear as the mathematical aspect of engineering. Consequently he created an architectural aesthetic that, like mathematics, is timeless and universal in scope – an architecture, in short, indifferent to history, neighborhood, region, and topography. Out of this ideal of an abstract (there is no other word for it) universalism grew the notion that architecture is "a medium for ideas,"[17] an art, to be more precise, whose matter is mass and surface and whose forms are geometrical and eternal. Corbusier's indebtedness to Platonism becomes even clearer when we consider his characterization of these ideas as abstract "types" whose simplicity and clarity allows for easy reproducibility on a mass scale. What generates these forms or *objets type* is "the plan" understood as the physical requirements of the building (number and size of rooms, placement of windows and doorways, and so on) translated into the language of mathematics, thus (it is alleged) giving order and harmony to the social, political, and moral life of human beings. In philosophical terms Corbusier cobbled together the rudiments

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[16]Martin Filler, *Makers of Modern Architecture: From Frank Lloyd Wright to Frank Gehry* (New York: New York Review of Books, 2007), pp. 86–87.

[17]Le Corbusier, p. 26.

of an architectural rationalism meant to eliminate any ambiguity and uncertainty that might frustrate the architect in his or her new role as social engineer (a role that by-passes politics as the art of persuasion and debate). The reality of the situation, however, was that Corbusier's obsession with hygiene and precision of expression resulted in an aesthetic unconcerned with the lives of real people and as other-worldly as the idealist philosophies to which he pledged allegiance.

While few would deny the impact buildings and landscapes ought to have on their users, orthodox modernism at its deepest level goes well beyond previous architecture in this regard. According to Corbusier, architects must now draw upon fixed ideas or types clear in meaning and hence accessible to the rational mind, for these are the means with which the master builder will apply universal solutions to universal problems of dwelling that earlier architectural theories failed to provide. The goal is a standardized environment based on a standardized conception of human beings. Corbusier is not coy in laying out his vision. "A standard is estab-lished on sure bases, not capriciously but with the surety of something intentional and of a logic controlled by analysis and experiment. All men have the same organism, the same functions. All men have the same needs."[18] The relevance of this reduc-tionism to modern technology is also made clear. "The social contract which has evolved through the ages fixes standardized classes, functions and needs producing standardized products."[19] And to the modern scientific flavor of these assertions Corbusier adds the technological spirit of efficiency and productivity. "The estab-lishment of a standard involves every practical and reasonable possibility, and extracting from them a recognized type conformable to its functions, with a maximum output and a minimum use of means, workmanship, forms, colours, sounds."[20] Corbusier's model for this kind of building is industrial mass production, an ideal that led him to his famous description of a house as "a machine for living in."[21]

Corbusier's integration of form and function is unorthodox, to say the least. In translating artistic form into a mathematical type he believed he had uncovered a universal architectural language that resonates with "the drama of life." On this view, "Architecture is nothing but ordered arrangement, noble prisms, seen in light,"[22] and architectural creation hinges on a return to a universal law made visible by the artist-architect in noble prisms of geometric origin. The modernist animus against ornament – so much remarked upon at the beginning of the modern move-ment – has more to do with a desire for philosophical purity than with any social or economic worry over the cost of decorative elements, as the Austrian architect Adolph Loos argued.[23] Ultimately the problem with ornament is that it ties us to a

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[18]Ibid., p.136.

[19]Ibid.

[20]Ibid., p. 137.

[21]Ibid., p. 4.

[22]Ibid., pp. 162–163.

[23]Adolph Loos, "Ornament and Crime," in Conrads, ed., pp. 19–24.

visible realm that is inescapably indeterminate and hence unclear as to its meaning and value. In contrast the space of geometry is a lighted region in which "there is nothing but pure forms in precise relationships."[24] Whatever worth can be attributed to the visible world is dependent on the extent to which it approaches the perfection of the invisible, mathematical forms.

Still it would be unfair not to acknowledge that the need for mass housing created by the industrial revolution did stimulate on the part of Corbusier and others a valuable and necessary rethinking of the meaning of art and its relation to building. To their credit, they recognized that the architectural nature of this problem went beyond the simple provision of shelter for large numbers of people. Like the methods of assembly-line production initiated by Henry Ford in the automobile industry, the task of building for the masses highlighted the larger artistic challenge of maintaining the aesthetic quality of products produced by means of an uncraftlike, i.e., unskilled, type of labor. Early in the twentieth century, for example, the *Deutsche Werkbund* addressed precisely this issue, according to the historian Alan Colquhoun, when it argued for the need "to infuse mass production with meaning and spirit by artistic means."[25] Attempts such as these were predictable failures, but they pointed to widespread concern about the aesthetic consequences of standardization in all areas of human existence. Philosophers expressed similar fears at the time about the leveling character of modern technological life. The industrial revolution provoked not only a host of worries about worker alienation and exploitation but also protests of a more global nature against the creation of an industrial environment that might spread – and indeed was spreading – beyond the factory gates.

But not everyone saw the new technology as a looming threat. Architectural functionalism, a movement within modernism usually associated with Loos, drew its inspiration from the flood of utilitarian products spewing forth from industrial technology. It is Loos who is credited with dealing the final blow to the Arts and Crafts movement as well as to its successor, the *Deutsche Werkbund* mentioned above. But he is more famous for promoting a doctrine that banishes ornament from all utilitarian objects, including architecture. His argument was that buildings could be produced as quickly and cheaply as other industrial products only if their look was austere and lacking in symbolism and representational qualities. In abolishing ornament Loos hoped to liberate technology from any inhibitions art might place upon the industrial creation of a prosperous and egalitarian world. If buildings were to be beautiful, they would have to do so by appearing functional, i.e., by taking on the appearance and aura of machinery. Needless to say, the Loosian solution to the Vitruvian question of form and function (*venustas* and *utilitas*) was not, it turned out, lost on Corbusier and his fellow modernist pioneers, in spite of Loos's embrace of a strict functionalism.

Indeed *Towards a New Architecture* makes clear that if the historical task of architecture in the wake of the industrial revolution was the production of standardized

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[24]Ibid., p. 220.

[25]Alan Colquhoun, *Modern Architecture* (Oxford and New York: Oxford University Press, 2002), p. 58.

housing and dwellings, then it would have to build in the "mass production spirit." This spirit, Corbusier realized, required a set of forms or types that could serve as originals in an assembly-line architecture. Whether such abstract types – cones, cubes, spheres, cylinders, pyramids – could actually be connected to the everyday lives of ordinary people was a question Corbusier and others in the movement hardly pondered. Instead, in the spirit of Futurism, they looked exclusively to the machine and Euclidean geometry for inspiration in the creation of a new aesthetic attuned to the new ideals of productivity and mechanical technique. Hence Corbusier's rethinking of what it means to dwell and his claim that the house-machine is above all a "moral concept,"[26] albeit one imposed from on high.

Corbusier's thought is central to the story of the modern movement, though not for having introduced the machine aesthetic as such. That was, as we've seen, in the works for some time already. Rather Corbusier's importance can be attributed to his appropriation and justification of the Loosian division of architecture into two separate realms, permitting, in effect, engineers and architects to go about their business, indifferent to the other's concerns. That this seemed to open up an unbridgeable chasm between life and art hardly registered on Corbusier's radar. Instead he concluded that function was a problem that could be handled aesthetically. Houses would now be mass produced, and their appearance would mirror this simple fact. But what is ultimately significant here is not just the application of the machine aesthetic, but how Corbusier argues for it.

As Corbusier himself tells us, the mass production spirit – properly understood – entails the rationalization of life, making architecture a vast project of social engineering whose aim is the creation of a moral order on the basis of a metaphysical purity intrinsic to modern forms and materials. What's more, such order can only be instituted by wiping the slate clean and constructing from scratch an environment remarkable as much for its hygiene as for its brilliant sculptural forms. The architectural means to making human affairs responsive to Cartesian clarification and simplification can be found especially in the building materials provided by the new technology. Along with novel construction methods, Corbusier maintains, these materials will enable architects to introduce the mathematical ideals of precision and certainty into dwellings mass produced like other consumable products, so that, in the end, "one can be proud of having a house as serviceable as a typewriter."[27] Here, we have Corbusier the master builder brimming with confidence that "our towns will be ordered instead of being chaotic,"[28] so that architecture will at long last serve the masses and not princes and popes, as in the discredited past. But at a price.

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[26]Corbusier states his ethos in a simple but arresting manner: "Absence of verbosity, good arrangement, a single idea, daring and unity in construction, the use of elementary shapes. A sane morality." *Towards A New Architecture*, pp. 158–159.

[27]Ibid., p. 241.

[28]Ibid., p. 237.

> A house will no longer be this solidly-built thing which sets out to defy time and decay, and which is an expensive luxury by which wealth can be shown; it will be a tool as the motor-car is becoming a tool. The house will no longer be an archaic entity, heavily rooted in the soil by deep foundations, built 'firm and strong,' the object of the devotion on which the cult of the family and the race has so long been concentrated.[29]

It is as if we will no longer dwell in real houses (which will be built to last a mere 5–7 years, as Corbusier recommends) but rather will commune with eternal house-forms through the medium of their imperfect copies.

This new aesthetic looks to rectilinear shapes and seeks to impose indiscriminately and repetitively squares and rectangles on the built environment. As such, it demands the widespread use of standardized parts like like windows, walls, flooring, woodwork, and so on, copied from ideal housing "types" that, in turn, are correlated – just how is unclear – with a single set of human functions and needs. Through the utilization of industrial forms as well, there appears for the first time the modern housing development, boxy office buildings and towers, and factory-looking schools and public edifices, all of which are intended to exude the values of economy and transparency that promote a way of life governed by the pace and ethos of the machine. Remarkably Corbusier believed that through the *artistic* employment of these forms he had effectively gathered together what Loos had torn asunder: form and function, beauty and use, art and technology. But he did so in a way that upset the delicate, Vitruvian balance between *venustas* and *utilitas*. For Corbusier, architecture was nothing if it was not an aesthetic calling, making the equipmental nature of buildings an irrelevancy. Unlike Loos, he donned the mantle of artist and looked down his nose on the prosaic work of the engineer, while remaining convinced the ethos of the machine can and should be incorporated into architecture.

The modernist slogan "form follows function," it turns out, can be construed in multiple ways, depending on what one means by each of these three terms. Paolo Portoghesi, for example, maintains that architectural forms do not literally follow function, but rather are first arrived at artistically, only then to be "deformed" to fit the specific functional, cultural, and environmental demands of the architectural work under consideration.[30] In stark contrast Corbusier put considerably more emphasis on the aesthetic, formal side of design and construction. Though it is not unusual for architects to be adept at painting and sculpture, Corbusier's work and expertise in these areas help explain his conviction that the architect is essentially a master form-giver. It was therefore his commitment to the *visual aspect* of architecture that became the salient trait of orthodox modernism and the essential thrust of virtually all its subsequent variations. Corbusier insisted (as did Mies) that function play second fiddle to aesthetic taste if the architect is to be more than an engineer. This did not mean that architecture has no room for questions of function. Rather, whatever their importance in the architectural past, they would now

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[29]Ibid.
[30]Paolo Portoghesi, *After Modern Architecture* (New York: Rizzoli, 1982), p. 79.

have to be filtered through the prism of high art. Corbusier's grand *theoretical* achievement was to rework Sullivan's imperative concerning form and function into an aesthetic philosophy that was to plot the direction of architecture for decades to come.

Now Corbusier is correct in holding that the art of architecture involves much more than problems of engineering. The purpose of the latter, he writes, is simply "to hold things together" (Vitruvian *firmitas*), whereas it is left to art "to move us"[31] (*venustas*). The problem here is in abandoning issues of use to a technology that is understood merely in terms of technical process. Small wonder, on this assumption, that modernist architects want very little to do with the functional side of their craft; and, it seems obvious, this negligence rests on a fundamental misconception about the nature of technology itself. In hindsight we know this occurred as the result of a gutting of the notion of *utilitas* that reduces it to a problem solvable by narrow technical means. Even Marx, a believer in all things industrial, held firmly to the primacy of use-values in rejecting the capitalist idolatry of commodities, whose only worth, he argued, is a function of their exchange-value. Corbusier, an aesthete with naïve political ideas, was in fact tone deaf when it came to matters of *praxis* and displayed an appalling ignorance of the human lifeworld in all its complexity and diversity.

When Corbusier did think about the functional side of building at all, it was only in terms of technical efficiency and convenience. The notion that architecture should be situated in a wider cultural and natural context was simply out of sync with the new architectural paradigm of the times. If there does exist a moral core in orthodox modernism, it is to be found not in the dangerous pretension to engineer living human beings via art works, but in the quarrel it had with nineteenth-century eclecticism. For Loos, Corbusier, and Mies, the "architecture of styles" belonged to a dead past rendered irrelevant by machinery, speed, and mass-produced products. Such an architecture was ill-equipped to express and affirm artistically the industrial foundation of modern living.

How, then, can architecture meet this challenge? Clearly Corbusier's confidence in the power of the plastic arts tended toward the utopian, and his grasp of what actually goes on in the lives of ordinary people was sorely deficient in almost every regard. His reduction of human nature to bundles of needs and desires, uniformly addressed under the heading of creature comforts, led him to a concept of design quite distant from life and the realities of actual human beings. For Corbusier, architecture was in the end about one thing and one thing only: the look or outward appearance of pure prisms sparkling in spaces illuminated by natural light and intended to produce a stage effect that dazzled the eye and mind. This is architecture as sculpture, in which we see Corbusier's version of Plato adapted to the requirements of a Cartesianism he imported into the realm of art with a persuasive power few architects in the twentieth century were able to match. The form or *eidos* of the building, i.e., its look, is elevated here to a status far beyond functional and

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[31]Corbusier, p. 19.

even structural concerns, a fact which neatly explains not only why modern buildings tend to all look alike regardless of their purposes, but also why they often are shockingly dysfunctional. Much of modern architecture, in short, is not really architecture at all: it is sculpture parading as architecture.

Sigfried Giedion concedes this fundamental point in what many consider to be the most important defense of the modernist movement, his large work *Space, Time and Architecture*. By the time this book appeared in the early 1940s the essentially sculptural intentions of twentieth-century architecture were beyond question. "That architecture is approaching sculpture and sculpture is approaching architecture is no deviation from the development of contemporary architecture …. At the beginning of the present development painting stood in the foreground. Now it is sculpture."[32] This did not happen in a philosophical vacuum. From Plato and Aristotle onward there exists in Western thought and speech a decidedly visual bias. When Plato appropriated the term *eidos* for philosophical purposes, he did so because of its everyday meaning at the time: the outward appearance or look of a thing. This explains Socrates's famous account of *epistēmē* in the *Republic*,[33] where he analogizes the act of knowing to the human eye in its capacity to perceive color in the visible world. What the mind "sees" is an *eidos* that manifests itself in and through a visible entity as its invisible cause and sense. The enduring power of this analogy is indicated by our propensity to say "I see" when we mean "I know." Living in the shadow of this epistemology, we are inclined to equate the knowable with what is "seen." The Aristotelian intuition of forms in individual beings, notwithstanding its criticism of Plato's alleged dualism, also bears the stamp of a visual bias intrinsic to Platonic metaphysics and subsequent Western ways of thinking, writing, and speaking. It is fairly obvious that Corbusier quite consciously tapped into this powerful philosophical prejudice in his aestheticization of architectural theory and practice.

> The plan of the house, its cubic mass and its surfaces have been dictated partly by the utilitarian demands of the problem, and partly by the imagination, i.e., plastic creation. Here at once, in regard to the plan and consequently in regard to whatever is erected in space, the architect has worked plastically; he has restrained utilitarian demands in deference to the plastic aim he was pursuing; *he has made a composition.*[34]

> Then comes the moment when he must carve the *lineaments of the outward aspect.* He has brought the play of light and shade to the support of what he wanted to say. Profile and contour have entered in, and they are free of all constraint; they are a pure invention which makes the outward aspect radiant or dulls it. It is in his contours that we can trace the plastic artist; the engineer is effaced and the sculptor comes to life.[35]

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[32]Sigfried Giedion, *Space, Time and Architecture* (Cambridge, Mass.: Harvard University Press, 1982), pp. xlviii–xlix.

[33]*The Republic*, 507a–509b.

[34]Le Corbusier, pp. 217–218.

[35]Ibid., p. 218.

Corbusier concludes this striking passage with a definition: "Architecture is the skillful, accurate and magnificent play of masses in light …."[36] In other words, an architecture that gets bogged down in questions regarding purpose and lived concerns is not really an art, not really architecture at all – it is merely a branch of engineering.

The aestheticization of both *utilitas* and *firmitas* (structural soundness, solidity) represented a decisive move in the creation of an architectural style that, by marketing itself as an anti-style, has achieved widespread acceptance, leaving virtually no culture or civilization untouched. It is true, of course, that no architecture does or could ignore its engineering component. But Corbusier's take on the importance of this dimension is odd, since it has little to do with "holding things together" (*firmitas*). Instead he repeatedly emphasizes the technological inspiration of his vision and the laws of nature to which both engineering and architecture are subject. From this he infers that architects should seek to establish rules that can serve as the ground of a truly universal architecture suited to our time. One could therefore say that Corbusier's grand achievement was the creation of an architectural aesthetic consonant with and supportive of the economic and technological development of a global monoculture. This fact would go a long way toward explaining Corbusier's indifference to architecture's history and immediate, surrounding environment. More important is the insight it provides into Corbusier's distaste for symbolism and ornament in deference to the mechanistic spirit. For, in the end, what is this spirit but the drive to unite people and cultures under the banner of modern technoscience and advanced technology.

It is important, then, to be clear about both the universal appeal of the machine aesthetic *and* its inherent limitations. To be sure, lip service is paid to Louis Sullivan's injunction that form follow function, but only in the sense that buildings are designed to *visually appear* – not actually to *be* – functional. Being functional comes down to looking functional, and nothing more. Function gets expressed in a disinterested, aesthetic way through the geometrical re-creation of the outward appearance of modern machinery and tools. A smooth and glossy look becomes the norm, and mass-produced objects serve as originals to be imitated and translated into a variety of sculptural shapes. Thus the house-machine, Corbusier insists, is "beautiful in the same way that the working tools and instruments which accompany our existence are beautiful."[37] The real-world models for early modernist architecture turn out to be precisely those structures for which the tradition provided no ready-made forms: factories, silos, railway stations, etc. These became the empirical embodiment of a new standard of beauty, one that, while appearing to be industrial and progressive, in fact had little relation to the actual experience of a wide range of technologies, many of which are modern, and some of which are not. That so many buildings today fail to work at even the most mechanical level is the result of an aestheticism that can only be viewed as one of the great scandals of our

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[36]Ibid.

[37]Ibid., p. 7.

time, especially for those who have been herded into such fiascos as the Chicago projects or the infamous Pruitt-Igoe apartment block in St. Louis, long since demolished out of mercy for its helpless inhabitants.

The possibility that buildings might enter into a conversation with those who actually live and work and teach and worship in them is an idea, we are led to believe, that is alien to an advanced technological world and way of life. Beyond a certain kind of banality we hardly seem to notice anymore, our architecture has gone mute. If it speaks to us at all, it does so in the language of systems and techniques that presumably make our lives more comfortable and lacking in none of the conveniences that define modern living. But the costs of this arrangement are well known: social fragmentation, alienation, disconnection from nature. And nothing is done because it is the poor who mainly suffer these indignities, trapped in machines for living we euphemistically call "public housing."

It is a staple of modernist architectural theory and practice that buildings speak only one language: the calculative *logos* of modern technology. Its intent is to unify the world by means of an ideal of beauty that mimics this technology without really understanding it, the result being an architecture more about spectacle and drawing attention to itself than to what it should be doing for its inhabitants.[38] The traditional task of place-making is carried out – if it is carried out at all – in a strictly visual way. Hence the failure of many of the most strikingly beautiful creations of the modern masters (take the Seagram Building in Manhattan or the Villa Savoye in Poissy, France) to add up to something even resembling livable urban and suburban environments. Disappointingly modernism in architecture has become the face of a late, postindustrial capitalism whose sole interest is in the transformation of traditional, time-tested cities into commercial areas suited primarily to a business class whose rootlessness favors an environment in which appearance almost always trumps substance. The fact is, much of our urban architecture is deliberately anti-urban, built as it is out of a profound ignorance of context and history and a devotion to sculptural form.

The failures of this movement lead to one conclusion: modernism, like its predecessors in the nineteenth century, is just another lie. In turning technology into an aesthetic phenomenon it represents the triumph of a metaphysics hostile to ordinary technological life. In its architectural appropriation of Plato and Descartes, Corbusier's aesthetic bespeaks a philosophical prejudice that looks askance at embodied, practical life as hopelessly entangled in a net of ambiguity and imprecision running counter to an age-old desire for a purity simply not of this world. The badly hidden secret of modernism is that it really wants nothing to do with technology in a functional sense or with the world in which technology actually operates.

The Corbusian-inspired incorporation of the *machine look* into every conceivable kind of building (American elementary schools being the most egregious example) turns out to be a diversion that attempts to return us to the "white world"

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[38]The newest fad – reportedly coming soon to Los Angeles and New York – is the attachment of monstrous electronic billboards to glass skyscrapers.

of the ancient Greeks, a "space" which, for Corbusier, was the high point of a clarity and single-mindedness missing in, say, the medieval warren or, most tellingly, the modern industrial city (he even hated New York, less for its industry, which is business, than for its filth and chaos). In appealing to the ancient Greeks Corbusier succeeded in reviving what is really an old-fashioned suspicion of technology. How else explain the astonishing reversal of modernism's political agenda in going "from a cause to a style,"[39] that is, in moving away from at least a theoretical commitment to humane, mass-produced housing for the poor and middle class toward becoming the face of every multinational corporation from New York to Hong Kong? For all its high-minded rhetoric, modernism elevates aesthetic concerns above all others. Take, for instance, Corbusier's work for Vichy during the Second World War, or the ease with which Mies switched from his design of a memorial for Rosa Luxemburg in the 1920s to lending his prodigious talents to the Third Reich in the following decade. This is the logical conclusion of "art for art's sake" and the divorce of beauty from life.[40]

Beginning with Kant's aesthetic criterion of disinterestedness, architecture has found itself under a cloud of suspicion regarding its artistic bona fides for some time now. Its connection to human beings acting in decidedly purposeful ways apparently disqualifies it in the eyes of some as the bearer of a universally recognizable beauty. Thus architects like Mies and Corbusier were not just caught in the grip of a metaphysics that stressed clarity and order and purity, but were at the mercy of an aestheticism of philosophical provenance that threatened *their* art in a fundamental way. Interesting as this may be, however, it does not excuse or explain away the reality that, in its removal from the functional to a pristine space of Platonic intelligibility and Cartesian clarity, modernism is in flight from architecture itself.

So what can be done? Where, specifically, does architecture go from here? A good starting point might be a serious rethinking of the unfounded presumption (again going back to Kant) that art and technology are irreparably opposed to one another, an idea that has misled many architects to conclude that architecture can be saved only by denying its functional core. Perhaps we needed 100 years or so to test this idea. But having done so and having found it wanting, we are forced to recognize the aesthetic repudiation of function for what it is: an avoidance of architecture's ethical task of placing us in the world and hence into relation with nature and human community.[41] What has been missing in design and construction for some time now is a thoughtful consideration of our technological being-in-the-world, provided we resist the temptation of simply equating technology with the machine or technical processes. We also should remind ourselves that architects are not

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[39]See Nathan Glazer, *From a Cause to a Style* (Princeton and Oxford: Princeton University Press, 2007).

[40]Hans-Georg Gadamer calls this divorce "aesthetic differentiation," and argues against it in light of the problems it causes for architecture in particular. See his *Truth and Method*, Joel Weinsheimer and Donald G. Marshall, trans. (London and New York: Continuum Publishing Group, 2004), pp. 149–152.

[41]See Karsten Harries, *The Ethical Function of Architecture* (Cambridge: The MIT Press, 1998).

alone in giving in to this temptation. In the age of technology we find – and here is a paradox worth pondering – little understanding of technology itself, in either its modern or pre-modern sense.

Among architects and architectural theorists who have come to realize the pressing importance of the question concerning technology for architecture today, some have turned to phenomenology and specifically to the work of Martin Heidegger as speaking directly to their architectural concerns.[42] They are particularly interested in Heidegger's reflections on the nature of modern technology as well as on the connections among building, dwelling, and thinking in a time dominated by calculative reasoning and instrumental imperatives. What has been ignored to some degree in Heidegger's large corpus, however, is the importance for architects of his tool analysis in *Being and Time*.[43] For here, prior to his more influential and better known take on modern technology in the 1953 essay "The Question Concerning Technology,"[44] Heidegger crafted an existential epistemology and ontology rooted in ordinary equipment use and, in doing so, articulated a cogent philosophical alternative to the visual bias endemic to Western metaphysics, a bias that lies at the heart of the crisis architecture finds itself in today.

The argument in *Being and Time* against this prejudice springs from Heidegger's insistence that philosophy has habitually overlooked those entities closest to us in everyday, practical life, entities the Greeks called *pragmata*. But rather than investigate their specific use character, Heidegger points out, Plato and Aristotle mistook them for things merely present-at-hand to the visual gaze of a neutral observer. Underlying this basic misunderstanding one therefore finds an ocular prejudice that inclined Western thought almost from the start to favor theory over practice and hence to distort the nature of technological instruments and their employment. From Heidegger's perspective it is precisely this prejudice that partly accounts for the failure of a metaphysics of presence to grasp the true nature of the *pragmata* uncovered in the human activities of making and using. In simply assuming Being to mean constant presence Plato began a way of thinking that appropriated technology to theoretical models of knowing emphasizing detachment and objectivity.

Philosophy and the world had to wait for Marx to break the stranglehold of idealism on the understanding of practical life. But in freeing up productive *praxis* for serious philosophical analysis it is questionable whether even Marx fully understood the depth of the problem, though he did finally clarify the philosophical and existential importance of technology for the life of historical humanity. In what has

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[42]Among those architects who explicitly reference Heidegger in a positive way are Kenneth Frampton, Christian Norberg-Schulz, Adam Sharr, Peter Zumthor, Alberto-Perez Gomez, and Colin St. John Wilson, to name a few.

[43]Martin Heidegger, *Being and Time* (New York and Evanston: Harper & Row Publishers, 1962).

[44]Martin Heidegger, "The Question Concerning Technology," *Martin Heidegger: Basic Writings*, David Farrell Krell, ed. (San Francisco: HarperCollins, 1993), pp. 311–341.

turned out to be a more radical approach to the question of *techne*, Heidegger refused to jettison ontology in favor of the kind of ontic treatment of technology found in historical materialism. Rather than turn Platonism on its head, he learned from the Greeks that technology was and remains an ontological matter (*Sache*), whether we are talking about the activities of the craftsman or the vastly more complex projects of the modern engineer. Heidegger shows in various texts that the production of useful artifacts is subject to a prior ontological revealing that guides the technical process of production itself. It is that mode of revealing entities that he calls, quite simply, the meaning of Being itself.

Heidegger's questioning of the metaphysics of presence is thus closely tied to his ontological turn in *Being and Time* toward entities as they present themselves in the ordinary affairs of daily life. What he uncovers are not the (present-at-hand) things favored by metaphysics and modern science but equipment (*Zeuge*) that lies ready-to-hand for some work or task. A single item of equipment, Heidegger points out, is never encountered in isolation from other tools but instead is experienced as part of a larger equipmental totality. This totality is not just the sum of equipment to be used, but instead shows itself as a context of meaning in which the significance of any particular piece of equipment is determined by its place in that context. What's more, our practical engagement with, say, kitchen utensils, ballpoint pens, hammers and saws – whatever the situation may be – is never an aloof, objective looking or staring at a single entity in isolation from other entities, but rather always involves an active use and manipulation of tools whose concern (*Besorge*) is not focused on the item of use, which must withdraw from our explicit attention (and hence is *absent* from explicit notice[45]), but on the work to be accomplished, such as a meal to be cooked, book to be written, house to be built and resided in.

Most relevant from an architectural standpoint is Heidegger's discovery in tool use of another kind of "seeing," an *umsicht* or "looking around" located primarily in the hands and not in the eyes, since it is only in the *use* of the equipment (hammering with a hammer, sawing with a saw) that its Being as readiness-to-hand first shows itself to us. Central to Heidegger's account of the Being of equipment is its *displacement of visual seeing* from the center of our initial engagement with beings and the world, an engagement in which the world and its entities *matter to us*. Here we see in a nutshell how Heidegger deftly subverts the ocular prejudice that has persisted since Plato and made such mischief in Corbusier's own ocular-aesthetic reduction of architecture to a fine art. Furthermore Heidegger is able to show that equipment is part of a work-world whose reference to the users of its artifacts points beyond itself to a public sphere of meaning that includes other human beings and

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[45]The importance of the self-concealing character of equipment for architecture cannot be overstated. To be effective a work of architecture must withdraw into the background if the purpose of the structure is to be fulfilled. Even ornament must eventually recede from notice, since its role is to enhance the function of the building by echoing it artistically and then by making room for the function to proceed in a more meaningful way.

their technological relationships to one another and to a natural world whose sense is pre-scientific.

An important and sometimes overlooked part of Heidegger's philosophical achievement in *Being and Time* was to have demonstrated through concrete phenomenological analyses the incredible richness of the most mundane technological experience precisely when the question concerning technology is not posed as a question of mere technique or the manipulation of objects available only to a seeing uninvolved in its world. In his tool analysis Heidegger lays the groundwork for overcoming the epistemological primacy accorded the visual going back to Plato's sun analogy and its likening of knowing to a seeing with the eyes. In architectural terms this means that Heidegger has provided a way of rethinking the concept of function from the ground up.

In a Heideggerian rendering architectural works are buildings and rooms to be resided in, that is, equipment whose usefulness is inscribed in a pragmatic context of meaning that sets buildings into an architectural space infused with historical, cultural, spatial, and natural significance. As early as the 1920s, Heidegger was clearly thinking along architectural lines in his detailed descriptions of equipment and its employment. In making the important point that, while all machines are pieces of equipment, the converse is not true, he follows up with this suggestive remark:

> We talk about machine construction, but not everything which can and must be constructed is a machine. Thus it is only a further sign of the prevailing groundlessness of thought and understanding today when we are asked to regard the house as a machine for living and the chair as a machine for sitting. There are people who even see this deluded approach as a great discovery ushering in a new culture.[46]

This obvious reference to Le Corbusier in 1928–1929 signals Heidegger's intention of including architectural works in his conception of equipment. One year earlier in *Being and Time* he not only defines a room as a piece of equipment "for residing in,"[47] but privileges it as what is first sighted in the circumspective seeing he has placed in the hands (and by implication in the body as a whole).

Moreover, this "sight" reaches out beyond the totality of equipment to potential users and residers who inhabit a public world. For architects, this fact demands on their part a renewed attention to the functions of buildings, but functions now perceived as embedded in a larger "space"of intelligibility (a world, *Welt*) that encompasses a pre-geometric and pre-Newtonian experience of place and space. As for the place of nature, it now appears in Heidegger's phenomenological account as an *intra*-worldly phenomenon which "stirs and strives, which assails us and enthralls us as landscape."[48] Rather than accept the modern scientific account of a homogeneous space within which natural things and causal events are to be located,

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[46]Martin Heidegger, *The Fundamental Concepts of Metaphysics: World, Finitude, Solitude* (Bloomington and Indianapolis: Indiana University Press, 1995), pp. 215–216.

[47]Martin Heidegger, *Being and Time*, p. 98.

[48]Ibid., p. 100.

Heidegger argues that prior to the construction of such abstractions we are already in contact with a nature that gets uncovered within the work-world of technology. "Nature is a forest of timber, the mountain a quarry of rock; the river is water-power, the wind is 'wind in the sails'."[49]

In this more robust conception of technology, grounded as it is in the work-world of everyday humans, lies the possibility of bridging the gap between form and function opened up by modernism in its thralldom to the machine aesthetic. The recognition that "a building is never only a work of art,"[50] as Gadamer claims, presents an opportunity to reclaim the ethical function of architecture, which is nothing less than its capacity to interpret our place in the world by means of art *in service to function*. Armed with more than a stripped-down idea of function, architecture might yet rediscover a voice connected to and expressive of life as it is lived.

A Heideggerian philosophy of architecture is something that has yet to be fully worked out in any detail. This would have to include Heidegger's employment of art works themselves as gateways to a new understanding of technology. In "The Origin of the Work of Art,"[51] for example, Heidegger interprets a Van Gogh painting of a pair of peasant shoes as an alternative way of disclosing the meaning of equipment. For Heidegger, in this later work of the 1930s, beauty is one way in which the truth of Being happens, especially in art works. In allowing a work of art a hermeneutic function regarding the meaning and truth of technology (in this case a pair of peasant shoes), Heidegger provides a model for addressing the role of the beautiful in architecture, a role which traditionally has been located in architectural form, inasmuch as form provides commentary on and hence an enhancement of the purpose of the building.[52] In its modern separation from lived experience art has lost faith in its capacity to articulate a world beyond its purely formal concerns, and architecture has lost sight of the essential function of interpreting itself as the way of cultivating and intensifying a deeper understanding of a building's use and its relation to larger cultural meanings.

It is impossible here to give an adequate account of Heidegger's reflections on the importance of art for philosophy of technology. Suffice it to say that Heidegger never wavers in the importance he attaches to the primordial character of equipment use, even while according art a special role in unfolding the truth of beings. Art and philosophy, in his account, arise out of – though are not limited to – a technological intercourse with the world that affords us our initial and hence determinative acquaintance with things and other humans. This means that architecture as well contains a fund of meaning and cultural significance whose richness and fecundity belie the modernist suspicion of utility and function. What Heidegger and a broader phenomenology of architecture demonstrate is that the art of building possesses resources unique to its own ways of understanding and creating. Given its present

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[49]Ibid.

[50]Gadamer, p. 150.

[51]Martin Heidegger, "The Origin of the Work of Art," *Basic Writings*, Krell, ed., pp. 143–212.

[52]Heidegger actually goes farther than this, locating form (*Gestalt*) in a prior ontological strife between a primordial concealing and revealing that images itself forth as earth and world.

circumstances, this might seem a nostalgic indulgence. But perhaps the architectural flight from technology we see in our own time is the real exercise in nostalgia, since what it comes down to is a flight from life itself as it is lived at the beginning of the twenty-first century. Instead architecture should reclaim its birthright and return to the indispensable task of showing us who we are by showing us where we are and where we ought to be.

Reflections on Metaarchaeology

Clifford T. Brown

1   Introduction

The peripatetic itinerary of Lester Embree's long career has taken him to some of the less frequented corners of the academy and to some even more isolated locales beyond the ramparts. He is widely known for his contributions to several branches of phenomenology, but some of his colleagues in philosophy may be but vaguely aware that he has investigated and written extensively on philosophy in archaeology. In this chapter, I take the reader to this less-frequented quarter of Lester's philosophizing.

I know Professor Embree as a colleague at Florida Atlantic University where he is William F. Dietrich Eminent Scholar in Philosophy. I also know him through his contributions to archaeological theory. Since at least 1978, Embree has conducted significant research into archaeological thought and practice. I am a practicing archaeologist, and therefore the comments that follow reflect my background and not that of a professional philosopher. I cannot comment on the philosophical significance of his archaeological writings. Nevertheless, I do not fear contradiction when I assert that Embree's contribution to archaeological philosophy is pioneering, original, and highly distinctive. I will defend this proposition below.

I divide Embree's work on archaeology into two categories: (1) original philosophical work on archaeology and archaeological thought and (2) empirical study of the history and evolution of archaeological theory. I will discuss these two topics in that order in the following pages.

2   Embree's Philosophy of Archaeology

It is, naturally enough, difficult to divide Embree's work on archaeology into neat categories because articles on empirical topics inevitably contain comments that reflect more purely philosophical views or at least implicitly reflect his attitude to

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thought. Nevertheless, the emphasis in most of his contributions is sufficiently clear to make possible an unambiguous typology. One of my graduate professors once joked that when an archaeologist does not know what to do, he creates a typology. The observation is close enough to the truth to be uncomfortable. Still, under this branch of the taxonomy, I include two sets of Embree's contributions. The first has to do with the place of archaeology within the sciences and the second concerns the nature of archaeological reasoning. Both groups of writings forcefully and unambiguously indicate his position as a phenomenologist.

2.1 The Place of Archaeology

Embree has published several articles in which he has presented an original view of the position of archaeology within the sciences. He has argued that archaeology is the most basic of all the sciences. He first presented this view in an article in *Antiquity*, a major British archaeological journal (Embree 1987). He begins by classifying archaeology as a historical science because its overriding concern is with how "certain matters change and stay the same over the course of time" (Embree 1987:75). He argues that it is the most basic of the historical sciences because (1) it investigates far more societies (because it studies prehistoric and non-literate societies) than the other historical sciences; (2) it examines all the social strata in those societies; and (3) it explores far longer periods of time than other historical sciences (ibid: 76). He goes on to argue that the historical sciences have priority over the "communal" social sciences (sociology, economics, geography, political science, etc.), which in turn take precedence over the psychological sciences that focus on the individual. He then asserts that the human sciences are more fundamental than the natural or "hard" sciences because all objects are originally cultural and therefore must be stripped of their cultural meaning before a natural science can be constituted (ibid.: 76–77).

> First a science must begin with objects that include value and use in correlation with human life, even if it chooses then for some reason to disregard those cultural characteristics. Remembering where one begins may help one avoid false senses of objectivity that are actually no more than subtle forms of one's own culture. When archaeologists seek to reconstruct the functions of artefacts that are thus cultural objects in past cultural worlds, this is especially critical ….

> Objects of all sorts are then originally cultural, and cultural objects, human communities among them, are the subject matter of the human sciences. If a special operation of somehow disregarding cultural characteristics is necessary to constitute natural objects and thus to establish the natural sciences, then the human sciences have in this way priority over the natural sciences. (1987: 77)

To summarize, then,

> as the Science with the broadest and least-distorted scope, archaeology is prior to historiography among the diachronic sciences of concretely collective human life, that it is prior

to the synchronically focused social sciences, and that it is prior to the psychological sciences, which deal with individuals abstractly, and hence is the most fundamental among the cultural sciences. Adding this to the classical position in Continental Philosophy whereby the cultural sciences (*Geisteswissenschaften*) are considered prior to the natural sciences and the derivativeness also of the formal sciences (mathematics, logic, grammar) from sciences including content in their subject matter, [Embree] concludes that archaeology is the most basic of the positive sciences. (Embree 1992a: 37).

Embree briefly reiterates this argument in various forms in other essays (e.g., 1989a: 72–73; 1997: 153).

In the 1987 essay, Embree remarks that the complexity of archaeology contrasts with the relatively simplicity of the natural sciences. Therefore, rather than judge archaeology to be a "soft" science in comparison to the so-called "hard" sciences, one might speak of the "simple" versus the "complex" sciences.

Embree's view of the priority of the sciences contrasts dramatically with the traditional view of the positivists or logical empiricists: "the study of matter in motion is foundational to all other knowledge, and for this reason physics is the most basic science" (Watson 1992: 255). Perhaps this contrast is to be expected between a phenomenologist in the Continental tradition and empiricists in the Anglo-American tradition.

I wish I could say that this article had a profound impact on archaeology, but if it has, I have not observed it. I cannot claim that archaeologists have felt constrained from citing the article by their natural modesty, but I do suspect that their strongly felt sense of inferiority has rendered them incapable of believing its conclusions. Our training, at least in the United States, based as it is on the logical empiricist model of scientific inquiry, has instilled in us the belief that archaeology is the squishiest of the soft sciences: not only do we study those hopelessly ineffable and unpredictable humans, but we do it with the lowest quality data. Our data, literally, are garbage. Archaeological theory, particularly in North America, has been so imbued with positivism and empiricism, indeed even a rather pointed physics envy, that Embree's analysis strikes us as impossible. We cannot believe that Archaeology is the Queen of the Sciences. It is a shame, really, this neurosis of ours, because Embree's argument is certainly convenient for us, and it is no less valid than any other taxonomic analysis merely for being unpopular.

2.2 Archaeological Thought

A second contribution Embree has made to the philosophy of archaeology is his analysis of archaeological cognition. Different elements of this analysis are presented in essays such as "Phenomenology of a Change in Archaeological Observation" (1992b), "Phenomenological Excavation of Archaeological Cognition or How to Hunt Mammoth" (1994), and "A Gurwitschean Model for Explaining Culture or How to Use an Atlatl" (1997). The article on archaeological cognition

provides as excellent example of Embree's reasoning of his pioneering contribution of phenomenological analysis in archaeology.

He begins by sketching an outline of Paleoindian (that is, Upper Paleolithic) mammoth hunting on the high plains of western North America (1994: 377–387). He then proceeds to analyze phenomenologically the cognitive and epistemological basis of our understanding of the archaeological "record." In his own words,

> To investigate [archaeological cognition] in this way signifies to reflect upon it theoretically. When thus reflected upon, what most conspicuously appears is the difference between the process of cognizing and the object as cognized. This is a noetico-noematic correlation that will become clearer as the following reflectively produced descriptive sketch proceeds. (1994: 387)

The highest level of archaeological cognition is *knowledge*, which is composed of true propositions. Interestingly, he includes within *knowing* material that is known probabilistically, that is, with some degree of uncertainty. Most archaeological "knowledge" is to varying degrees uncertain – on our best days, we are still digging up very old garbage – so less than ideal and deterministic facts must be accounted for and explained (ibid.: 388).

If archaeological knowledge is composed of true propositions, we will wish to know, naturally, what makes archaeological propositions true. He asserts that "if the matters are as alleged in it, then proposition is true" (ibid.: 389). Significantly, the allegations of a proposition should include any implications. How are we to know if the allegations are to be believed?

> In general and according to phenomenological epistemology, believing is justified by *Evidenz*. Since the English cognate of Husserl's key word too often designates in everyday and legal usage the matters that are evident rather than the process of "seeing" them …, it seems preferable to speak of *evidencing* ….

> Regarding the issue of how evidencing functions in cognition, we can consider a case of everyday perception. Our companion looking out the window says "The cat is stalking a bird." That proposition is true for her because of the underlying believing in the cat, his behavior, and the bird is justified by her visual perceiving of that matter in the yard outside the window. We can look and see (or "evidence") for ourselves, form an intersubjectivity with our partner, and make that truth objective or non-relative since it then refers to a matter that is justifiedly believed in intersubjectively. (ibid.: 390)

Archaeological evidencing is somewhat different than this example suggests, however. Embree regards it as a species of *representational awareness*, and specifically a type of indicational awareness in which the artifacts and other remains are the indications.

> [O]n the awareness of an indication we become aware of that which it indicates …. The indications are the remains found in the present and perceived, e.g., the spear or atlatl points ….What is indicated is the hafting, the fore-shaft, the main shaft, the hunter, the game, the hunting techniques, butchering operations, solutions to the meat storage problems, the size and composition of the Paleoindian band, the rest of its diet, and much else. (ibid.: 391)

Therefore, "the representational awareness of the past lifeways is what justifies and believing in them and that is what makes the knowledge qua account about those lifeways true" (ibid.).

What is striking about this account of archaeological cognition is its apparent uniqueness. It is squarely in the phenomenological tradition of Husserl and Gurwitsch and thus is easily distinguished from the logical tradition of the empiricist philosophers of science. Nevertheless, it does not display a close kinship to the post-processualist currents in archaeology that claim descent from the same Continental tradition. Embree is hardly making radical claims for relativism or subjectivity. For example,

> That archaeological knowledge changes does not imply that archaeology is not a science. And indeed not all parts of it change …. Archaeological cognition is based on what has been observed thus far, this ultimately depends on perceived remains, and there is a considerable openness to the future. Respect for data disciplines the entire endeavor. Archaeology is not science fiction. (Embree 1994:394)

It ought to be keenly interesting to archaeologists to note that phenomenological analysis of archaeological knowledge, performed by a formally trained, full-time, professional phenomenologist, does not lead to the same conclusions proffered by the various archaeologists who have been attracted to phenomenology as an alternative to processual archaeology. These latter-day archaeological phenomenologists have arrived at fairly extreme relativism and subjectivism.

> Such approaches are based on the argument that the role of our discipline cannot be the accurate reconstruction of a "real" past whose material vestiges are left us in the form of the archaeological record. The past can only ever be re-created in the present and, as such, a critical understanding of contemporary experience is what should matter most. It has therefore been suggested that the primary role of archaeology should be to engage with social and political issues in the present, and that attempts to 'know" the past are misguided and ultimately due to failure. Phenomenological approaches are a useful addition to literature that focuses on the construction of knowledge in the contemporary world as they both challenge objectivist models of space and encourage the archaeologist to engage critically with the ways in which experiences of place are created. Tilley (Tilley, 1994: 225), for example, argues that archaeological interpretation is carried out in and for the present. (Brück 2005:57–58; internal citations omitted)

This does not appear to be a philosophical attitude that Embree would find palatable, and yet it claims to be archaeological phenomenology. Admittedly, phenomenology is a broad and anastamosing stream of thought within philosophy, yet I am skeptical about the phenomenological validity of the claims made by the latter-day archaeological phenomenologists (that is, archaeologists who practice phenomenological analysis and interpretation of archaeological data) because their analyses and conclusions are so radically different from those of actual philosophers who apply phenomenology to archaeology, such as Embree and Patrik (1986***). I would be very interested to know Embree's opinion of the analyses and interpretations of the archaeological phenomenologists. It ought to be enlightening and entertaining.

In addition to phenomenology, the post-processualists (read "post-modernist") archaeologists have fervently embraced hermeneutics (e.g., Hodder 1991; Johnsen and Olsen 1992; Kosso 1991). Indeed, the most salient formulation of post-processualism is Ian Hodder's "interpretive archaeology," which is explicitly hermeneutic. Embree, however, explicitly rejects a hermeneutical approach to archaeological cognition.

> One may be attracted to thinking that the archaeologist proceeds hermeneutically and in particular "reads" remains and is hence a text interpreter. Remains are not, however, texts because they were not expressed with communicative intent for readers to comprehend, they do not convey significations, they do not have syntax, and they do not refer …. Rather than say that archaeologists "read" remains, it is better to say that they become representationally aware of past lifeways on the basis of perceiving remains. (ibid.: 392–393)

It is interesting to find Embree rejecting this kind of approach as well. Embree's views on relativism and interpretation in archaeology therefore do appear to set him apart, not only from the logical empiricists but also from the post-processualists. His contribution, indeed, is distinctive.

3   Empirical Studies of American Theoretical Archaeology

As I write, it is 30 years since Embree began to investigate the evolution of archaeological theory, and in particular the current that he dubbed "American Theoretical Archaeology," which is better known as the "New Archaeology" or "Processual Archaeology." In two essays published in 1989, Embree reported on his initial efforts to study empirically the growth and development of the "New Archaeology" in the United States. The New Archaeology represented a major shift in archaeological philosophy of science and methodology that began around 1960. The New Archaeologists abandoned the traditional cultural-historical approach that emphasized descriptive chronologies of ancient societies. They focused instead on developing a nomological-deductive methodology for what they thought was a scientific approach to archaeology. The new approach emphasized hypothesis testing, quantitative methods, systems theory, cultural processes, and human ecology. Many of the New Archaeologists thought of these changes at the time as a Kuhnian scientific revolution, a full blown paradigm shift. Embree decided to study this phenomenon to understand the sociological, historical, and philosophical processes involved. "My interest is not what was happening at any given time, but in how aims, ideas, and methods stayed the same or changed …. Perhaps 'sociohistorical' is a good characterization of the research" (Embree 1989a:63, 69).

Embree started investigating the New Archaeology after it was fairly well-entrenched. He investigated the advent of American Theoretical Archaeology not only through reading its texts, but also by contacting the people involved (1989a). He sent them questionnaires and survey instruments, and he also interviewed many

of the principals. He has collected a mountain of data and he is using it to write an account of how American Theoretical Archaeology emerged from a small group with perhaps eight members to a large group with at least 150 members over a period of about 30 years (1989a:70).

Embree's investigation is distinctive. It is not an example of the missionary approach of so many philosophers of science who preach to scientists about what their research is or how it should be conducted. His approach is more ethnographic and also more historical (1989a:70).

> For most outsiders, philosophy of science is positivist philosophy of the natural sciences or philosophy of the social sciences that at least implicitly advocates that the social sciences ought to imitate the natural sciences and in any case seems chiefly to consist of applied logic. I proceed, however, from a phenomenological position. I consider the human sciences fundamental, and as should be clear, I subscribe to a history oriented approach. (1989a:72)

Interestingly, he philosophically justifies his investigation of archaeology in part because of its priority within the sciences, which I discussed above.

Embree's other essay from 1989 (1989b) is preliminary report on the initial results of his survey of American theoretical archaeologists. In it, he proposes a model of the internal structure of the field. Relying in part on the responses to several survey questionnaires, he distinguishes the history and philosophy of archaeology from a theoretical archaeology as most broadly understood. Within this understanding or signification of theoretical archaeology, he finds, on the one hand, metaarchaeology, and, on the other, a strict or proper meaning of the term theoretical archaeology that consists of substantive research on archaeological theories. Metaarchaeology in turn includes discussions of archaeological logic, archaeological epistemology, and archaeological metaphysics, in other words, "secondary, reflective, and non-substantitive research of this sort" (1989b:35). The rubric of proper or strict theoretical archaeology subsumes both "empirical archaeology" (that is, data collection and analysis) and a narrow meaning of theoretical archaeology, consisting of the theorizing of specific archaeological models. In his parsing of American theoretical archaeology, Embree relied heavily on the responses to his questionnaires, which he quotes at length, providing a glimpse at the extremely interesting data set he has succeeded in accumulating.

I would be remiss if I did not explain here that Embree's contribution to archaeology remains unfinished. He plans a two-volume report on the results of his research into American Theoretical Archaeology based on his extensive reading of the archaeological literature, on the surveys alluded to earlier, and also on the extensive interviews with many of the principals involved in the development of the New Archaeology. The book will be called *The Rise of American Theoretical Archaeology*.

4   Conclusion

Embree's contribution to archaeology is pioneering, highly original, and distinctive. He was the first to bring phenomenological analysis to bear upon archaeological thought, and he did so in an interesting and original manner. The archaeologists who subsequently adopted a phenomenological approach to archaeological interpretation in the 1990s (e.g., Thomas 1993a, b, 1996; Tilley 1994) developed a philosophy very different from Embree's, almost unrecognizably different, despite claiming much the same intellectual lineage. Thus, Embree's contribution is strongly and clearly phenomenological and yet distinctive both from the logical empiricists and from the archaeological phenomenologists. I look forward to reading *The Rise of American Theoretical Archaeology*.

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Objective Meaning and Subjective Meaning: A Clarification of Schutz's Point of View

YU Chung-Chi

1 Introduction

The problem of "subjective meaning" and "objective meaning" has been closely related by Schutz to the problem of validity (*Geltung*). According to the critical philosophy of Kant, objectivity is equivalent to general validity which is acknowledged by all rational beings, either in the realm of knowledge or morality; by contrast, subjectivity is referred to the realm of sense experience, which is incapable of being rigidly defined in terms of knowledge on the one hand, and on the other hand refers to self-centered interests that deviate from the imperative of moral laws. In the phenomenology of Husserl, the aim of which lies in clarifying the foundation and the formation of scientific knowledge, it is the objective meaning that he is mainly concerned with. The objective meaning, as a result of intentionality, makes up the core that lies beyond the perspectival adumbration (*Abschattung*). Even though Husserl founds objectivity upon subjectivity in the framework of his transcendental phenomenology, he concentrates on the transcendental rather than the empirical character of subjectivity. Only thus, he believes, can we lay a solid ground for the objectivity of all kinds of knowledge.

In the interpretative sociology (*Verstehende Soziologie*) of Max Weber, it is essential to distinguish between subjective and objective meaning as well. Objective meaning corresponds either to the institutional rules, norms of behavior or the results of scientific researches. Objectivity is seen as referring to what is commonly accepted among individuals. However, Weber indicates that social phenomena can hardly be explained except by means of social relationships and social actions. This means that the concrete interactions between the individuals count as the genuine point of departure for all social theories. According to Weber, the actions undertaken by individuals are different from natural phenomena simply because meaning is

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involved in all actions. This meaning, which is connected with individual human actions, is designated by Weber as subjective meaning.

Witnessing the shortcomings of Weber's social science methods, Schutz introduces the theory of consciousness from Husserl's phenomenology. His efforts aim to depict the way the individual understands the actions of other persons in the daily lifeworld, and how this individual combines his own actions with meanings, in order to let the meanings by his actions be revealed to others. How do people understand each other against the background of the structure of social world? This is the question that motivates Schutz to work out his philosophy. Obviously, "meaning" plays the key role in such a context, and even although Schutz acknowledges the importance of the objective meaning, it is the subjective meaning that he pays more attention to.

The present paper aims at an analysis of what Schutz means by subjective meaning and objective meaning in the early major work, *Der sinnhafte Aufbau der sozialen Welt* (1932), in order to lay out the different meanings of subjective meaning and objective meaning which Schutz uses ambiguously. Before stepping into the discussion, let us make some explanations of such notions as "understanding the other" (*Fremdverstehen*), "observational understanding" (*aktuelles Verstehen*) and "motivational understanding" (*motivationsmäßiges Verstehen*), by way of preparation.

2   Explanations of Some Preliminary Notions

Schutz points out that, in order to understand the social-human phenomenon, particularly in regard to the meaning of other persons' actions, two postulates are required: first, that the other person must invest his actions with meaning, so that I can conceive this meaning, just as I can understand my own actions; and, second, that the subjective meaning of the other's actions is not necessarily identical with the meaning that I ascribe to his action (SA, 28/20). The first postulate indicates that we are not able to penetrate what others think as if we could experience their inner experiences like our own, simply by observing their actions. Schutz points out that "such a complete empathy is against the basic law of consciousness" (SA, 29/20). On the other hand, Schutz also denounces the position of Carnap, who holds that "another person's behavior and actions are given to me as sequences of events in the physical world, as perceived changes in the physical object which I call his body" (SA, 29/21). The position of Carnap assumes that as long as we can experience only physical objects directly, the inner experience of others are inaccessible to us. For him it makes no sense at all to talk about the minds of other persons due to lack of positive contents of experience. For Schutz, Carnap's viewpoint is far removed from the truth, because the actions of other persons are simply incomparable to natural phenomenon, since they are endowed with meaning and value. Whatever they may be, the actions of others always incorporate some sort of meaning. Nevertheless, on account of the fact that the inner experience of other persons is not at all accessible to me, I cannot assume that the meaning I apprehend in another's action is the same as the meaning intended by the agent. The difference between my own and his own understanding is thus unavoidable.

Let us next deal with observational and motivational understanding. These two concepts originate from Weber. Observational understanding has to do with the meaning of a specific action, whereas motivational understanding is related to the context of the action. For example, if one conceives of an action as "cutting wood into pieces," this is a judgment from observational understanding. But when one claims that the agent cuts wood for the sake of making a living, then this action is understood by means of motivational understanding. According to Weber, the motive of an action means: "A complex of … meaning which seems to the actor himself or to the observer an adequate (or meaningful) ground for the conduct in action" (Weber, WG, 5; SA, 37/28).

Schutz then reveals the insufficiency of this clarification by wondering what Weber means by "a complex of … meaning" that is treated as the ground for the conduct in question. In order to render the notion more intelligible, Schutz brings up a distinction between two kinds of motives, the "in-order-to motive" (*um-zu Motiv*) and the "because motive" (*Weilmotiv*). According to his explanation:

> First there appears to me, as the meaningful ground of my behavior, a series of future events whose occurrence I propose to bring about, I am orienting my behavior to this end. But there is a second sense in which I sometimes speak of the meaningful ground of my behavior. Here I refer to those past experiences of mine which have led me to behave as I do. In the first case I regard my behavior as the means of accomplishing some desired goal …. In the second case I regard my present behavior as result of past experiences, as the effect of preceding 'causes.' (SA, 38/28)

In other words, if we ask someone why he takes a certain action, wherein lies the meaning of his action? The reply could be: "I did it, in order to …" or "I did it, because …." In the normal case, the actor will view the meaning of his own action as self-evident, unless he starts asking about the reason why. In this case he will take the self-evident meaning as point of departure, and proceeds to find out the relevant experiences in the past or events in the future. To sum up, the motivational understanding presupposes some acquaintance with the agent's past or future.

Against this background of "understanding the other" and "observational and motivational understanding," we may proceed to explicate Schutz's ambiguous use of "subjective meaning" and "objective meaning."

3   The Distinction Between Observer and Actor

The "objective meaning" is the meaning that the observer ascribes to the action of the actor. It is in contrast with the meaning "which a given action A has for a given actor X" (SA, 41/31). The latter is depicted by Schutz as "subjective meaning." Schutz says emphatically that even under the best conditions we are still unable to apprehend the meaning that is conceived by the actor himself, just because of the mere fact that we are unlikely to have access to the experience of others. Schutz explains, let M1 be the meaning which a given action A has for a given actor, M2 be the meaning which this action has for his friend, and M3 be the meaning the

same action has for a sociologist. According to Weber as well as Schutz, M1 counts as subjective meaning of action A, whereas as M2 and M3 constitute the objective meaning (respectively to a friend and a sociologist) of action A. Schutz determines that:

> As a matter of fact, since M1 can only be inferred from the evidence of A's external behavior, the intended meaning must be regarded as a limiting concept with which M2 and M3 would never coincide even under optimum conditions of interpretation. (SA, 42/32)

In everyday life, as long as the meaning of actions of other persons is understandable, it is unlikely that we would have the interest to inquire into how the actor conceives of his own behavior. This is quite often the case with rational actions in the strict sense. Let us take as example the relationship between a bus driver and a passenger. So long as the bus driver behaves himself in a rational way, fulfilling his duty as a bus driver, the passenger has no reason to know, or interest in knowing, the reason why he drives a bus. This question is just beyond the horizon of everyday life. It is only when the bus driver makes some unusual movement (for example, the bus driver does not drive along the street that the bus is supposed to) that people may wonder, "What is going on?" Only in such cases will people be interested in knowing the subjective meaning of the action, that is, how the agent thinks about his own actions. Put differently, the way people interpret the actions of other people is pragmatically oriented (SA, 49/38). Pragmatic needs are what people are mostly concerned with. Beyond that, people are not generally inclined to make further inquiries into the actions of other people.

4   The Distinction Between Final Result and Ongoing Process

The pair of concepts, subjective and objective meaning, could have other connotations than those of actor and observer. The objective meaning may refer to the results of actions, whereas the subjective meaning may indicate the constituting process. In this context we may raise several questions: how does the objective meaning and subjective meaning in this sense arise? Why is it necessary to introduce this sense of the distinction? What problems are thought to be solved by means of it?

Basically, this sense of the distinction has to do with the relation between the motivation and the final result of the action. Usually when an inquirer looks into an action, it is the final result that comes into view. For the inquirer, the action is seen as an objective fact, the status of which is similar to that of physical objects. But if people treat actions only in this way, the actions themselves are hardly understood. In order to understand the subjective meaning of a certain action, people have to start with the original motivation and trace out the whole process involved in it.

In order to clarify this point, Schutz introduces the Husserlian distinction between static and genetic phenomenology. As Schutz points out, since Husserl published *Ideen*, people have become aware of the role of intentionality in the constitution of meaning. This is achieved when the data in perception are "animated" (*beseelt*) (SA, 46/35). The reason why we perceive something as meaningful is that it is intended by consciousness. Later, in *Formal and Transcendental Logic*, Husserl

advances the idea that intentionality is actually "a synthesis of different operations" (*ein Zusammenhaug von Leistungen*). Thus understood, every intentional unity is the result of the history of sedimentation (*sedimentionte Geschichte*). Schutz quotes Husserl by way of explanation:

> Every meaning structure can be analyzed in terms of the meaning stratification that is essential to it …. All intentional unities have an intentional origin, are "constituted" unities, and in every case one can subject the "completed" unities to an analysis in terms of their overall origin and of course their essential form, which is to be grasped eidetically." (*Formale und Transzendentale Logik*, 184–185; SA, 46/35)

Such phenomena of constitution can be studied in the genetic analysis of intentionality. In this way the origin of meaning can be revealed. At the same time, every object can be viewed as constituted. In this way we see the world as compact, constituted and self-evident. Accordingly, we may not even be aware of the intentionality of our consciousness. All the meanings, in this sense, are treated as already constituted. We face either a real or an ideal world, and we can claim that this world is full of meanings, not only for ourselves, but also for everybody. The constituted object has objective meaning. For example, the proposition "$2 \times 2 = 4$" is valid for all people, no matter who they are, or where or when they live.

In another way, however, it is also possible for us to concentrate on the way in which our intentionality of consciousness functions. In this case, we are not confronted with a compact and constituted world, but rather a world in constant flux. In this case, we are aware of the way how the consciousness constitutes meanings and how the world becomes meaningful to us. Schutz emphasizes that this fact can be revealed to us when we struggle against our everyday attitude, the so-called "natural attitude" in Husserl's terminology. Schutz characterizes the subjective meaning and objective meaning here as follows:

> I can, on the one hand, attend to and interpret in themselves the phenomena of the external world which present themselves to me as indications of the consciousness of other people. When I do this, I say of them that they have objective meaning. But I can, on the other hand, look over and through these external indications into the constituting process within the living consciousness of another rational being. What I am then concerned with is subjective meaning. (SA, 48/37)

Schutz applies this distinction to the social world, when he says:

> What we call the world of objective meaning is, therefore, abstracted in the social sphere from the constituting process of a meaning-endowing consciousness, be this one's own or another's. This results in the anonymous character of the meaning-content predicated of it and also its invariance with respect to every consciousness which has given it meaning through its own intentionality. In contrast to this, when we speak of subjective meaning in the social world, we are referring to the constituting process in the consciousness of the person who produced that which is objectively meaningful. We are therefore referring to his 'intended meaning,' whether he himself is aware of these constituting processes or not. The world of subjective meaning is therefore never anonymous, for it is essentially only something dependent upon and still within the operating intentionality of an Ego-consciousness, my own or someone else's. (SA, 48/37)

The problem of anonymity is treated as a big issue by Schutz in his theory of social structures. The realm of directly experienced social reality (*soziale Umwelt*) can be

distinguished from the realm of one's contemporaries (*soziale Mitwelt*) as well as the realm of his predecessors (*Vorwelt*) by the characterization of anonymity. The persons in the realm of directly experienced social reality stay in face-to-face relationship with me and share with me the same flow of consciousness. But the persons beyond this realm would never share with me this kind of flow of consciousness. Hence, I cannot but use indirect means, which Schutz depicts as typification, to cope with them. Those who are anonymous may come to be experienced directly either by getting in touch with them face-to-face, or by tracing the process of activities in consciousness and reviving the whole process of constitution.

Not only can persons be treated in terms of subjective meaning or objective meaning; but, all kinds of artifacts can be treated in this way. When we encounter an artifact, we may, according to Schutz, interpret it in two ways: we may either concentrate on its objectivity, either real or ideal, without any reference to its producers, or we may regard the artifact as a product of the contents of someone's consciousness. In the former case, the interpreter only attends to what he himself thinks about the product. In the latter case, he attends to the constituting consciousness of the producer, so that the product becomes a symbol of a preceding flux of consciousness.

When we look at an artifact, treating it as an object with objective meaning, we do not care about how it was produced, or about the various steps involved in the production. In other words, we are only concerned with how we, the observers, conceive of the object. We place the object in the context of observer's interpretation instead of that of the producer. In this regard, the second distinction of objective meaning and subjective meaning in terms of final result and ongoing process can be viewed as the complement of the first distinction between observer and actor.

When we inquire into the subjective meaning of a product, we are asking about the constitutive process, that is, about what the producer was thinking, as well as about the process of realization. As far as the specific experiences that are revealed in this process are concerned, Schutz indicates that in this situation, we are not asking about the "producer" himself, that is, a specific person who produced the artifact. Instead, what we are asking about is the typical experience of an anonymous producer as such. We do not take into consideration the specifics about someone who actually exists or existed somewhere at some time. Anyone could assume the role of the "producer," to whom the constitution of the subjective meaning is attributed. As long as this anonymous producer is not a real, living person, it makes no sense to talk about his temporal existence. He remains a fictional, logical construction. He has no temporal dimension at all. As a result, when we discuss how meaning is generated, we do not refer to it in temporal terms, but rather to the process of meaning constitution, or to the steps involved in interpretation.

Schutz treats the problem of "cultural objects" in a similar way. By cultural objects Schutz does not mean only concrete objects such as books, vases, etc., but also social, political, and economical institutions such as governments, commercial companies, etc. Norms of behavior and customs are categorized under cultural

objects as well. Just like persons and artifacts, we may have two different kinds interpretation in regard to all these objects. According to Schutz:

> All cultural objectivations can, therefore, be interpreted in a twofold manner. One interpretation treats them as completely constituted objectifications as they exist for us the interpreters, either now, as contemporaries in the present, or as coming later in history. These objectifications can be described quite simply or can be subjected to theoretical elaboration as objects of essential knowledge; that is, one can study the state as such, art as such, language as such. (SA, 190/136)
>
> All these products can, however, be treated as evidences for what went on in the minds of those who created them. Here highly complex cultural objects lend themselves to the most detail investigation. (SA, 191/136)

As long as cultural objects are conceived in the first way, this denotes the invariance of meaning and the anonymity of producers. This conception is based on the ideality of "and so forth" as well as "I can do it again." (SA, 192/137). This point will be made more clearly in the third distinction of objective meaning and subjective meaning.

5   Distinction Between Essential and Added Expressions

The distinction between "essential" and "added" meaning lies in the fact that when the agents of actions use signs to express meanings, then the understanding of these signs can be distinguished in two levels. The one concerns the position of the sign in the sign-system. The meaning of the sign in this respect is more or less stable, because those who use the signs will accept the validity of these signs. But on the other hand, the specific meaning of a sign may depend on the position of the one who uses the sign. Typical examples include "front," "behind," "right," "left," etc. Evaluative terms are obviously also such terms, as the proverb "a person's sugar is another's poison" tells us. The same thing can be judged by people with quite different values.

Also it happens quite commonly in intellectual writings that some authors ascribe special meanings to certain terms. If we miss the significance attributed to such terms, we are likely to miss the point conveyed by the authors. For example, Heidegger attributes an unusual meaning to the term "*Dasein*." If ordinary German speakers insisted on the usual meaning of the term, they could not help but misunderstand Heidegger. This case exemplifies what Schutz means by "added meaning." It also reveals how every stable sign-system retains space for people to be creative. Schutz explains:

> We intend to attribute objective meaning also to certain ideal objectivities, such as signs and expressions. In so doing, we mean to say that these ideal objectivities are meaningful and intelligible in their own right – in their, so to speak, anonymous nature – regardless of whether anyone is using them. For instance, the expression "2 + 2 = 4" has an objective meaning regardless of what is in the minds of any or all of its users …. In his *Logische Untersuchungen*, Husserl taught us to distinguish between "meaning" (*Bedeuten*) as an act

and "that which is meant" (*Bedeutung*), the latter being an ideal unity in contrast to the multiplicity of all possible acts of meaning. Husserl's distinction between "essentially subjective and added" expressions, on the one hand and "objective" expressions, on the other, is only a special case of his general and fundamental insight. (SA, 44/33)

When we say that a sign has an objective meaning within its sign system, it means that it "can be intelligibly coordinated to what it designates within that system independently of whoever is using the sign or interpreting it" (SA, 172/123). This means that anyone familiar with the sign system can use the indicative function of the sign to understand what the sign-user wants to express, no matter who uses the sign or in which context the sign is used.

In a sign system, a sign has an ideality that renders it always repeatable (*immer wieder*). If someone wants to understand what a sign in foreign language means, he can seek a dictionary for help. People can always grasp of the objective meaning of a term without much difficulty. Nevertheless, a language is not at all equivalent to the total sum of the terms explained in dictionary. Language is used by people to express what they have in mind in a certain situation. The meaning explained in the dictionary has nothing to do with what Husserl call "essentially subjective and added expressions" (SA, 173/124). These terms indicate that only when people realize the situation of the speaker can they understand how these terms are intended.

As already suggested, terms such as "right," "left," "here," "there," "this" and "that" have to be understood with reference to the location of the speaker. Schutz stresses that anyone who uses a sign to express what he wants to say will ascribe to the signs some added meaning. The term "added" itself already points to the fact that it surrounds the objective meaning. Even when we want to understand an author such as Goethe, one has to understand the way he uses language, how he is influenced by his time, his socio-cultural environment, and especially his own intention of added meaning. Any proper understanding of a term will have to deal with the meaning that is added to the objective meaning.

By the way, not only an individual can ascribe added meaning to language; even a whole culture can do so. Concerning this, Schutz says:

> Exactly what Goethe means by 'demonic' can only be deduced from a study of his works as a whole. Only a careful study of the history of French culture aided by linguistic tools can permit us to understand the subjective meaning of the word 'civilization' in the mouth of a Frenchman. (SA, 174/125)

6   Conclusions

Schutz points out in §43 of *Der sinnhafte Aufbau der sozialen Welt* that all the social sciences proceed by conceptualizing subjective meaning objectively. He says:

> … the theme of all sciences of the social world is *to constitute an objective meaning-context either out of subjective meaning contexts generally or out of some particular subjective meaning contexts.* (SA, 317/223)

The whole project of the *Der sinnhafte Aufbau der sozialen Welt* can thus be seen as focused on the pair concepts: "subjective meaning" and "objective meaning." As important and essential as both concepts are, Schutz himself did not provide us with a systematic exploration of what these concepts signify. Due to the fact that Schutz uses these pair of concepts ambiguously in different contexts without indicating clearly what they mean, his use of the terms remains confusing. This confusion can be lessened if all the distinct aspects of these concepts can be articulated and analyzed. It is the contribution of the present paper to help shed light on these concepts.

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Methodology of the Social Sciences Is Where the Social Scientists, Philosophers and the Persons on the Street Should Meet*

NASU Hisashi

1 Introduction

Lester Embree has observed in an essay that "methodology is where human scientists and philosophers can meet" (1980: 367). I agree with this observation, but it needs to be understood *adequately*. He obviously recognizes this necessity, since he refers primarily to Alfred Schutz's methodology, making a passing reference to a methodology in a narrow sense which forgets the original intent and deals merely with statistics and/or computer technique (cf., ibid.: 371). He implies that if the term "methodology" is understood in the narrow sense, human scientists and philosophers cannot or need not meet in a methodology and that Schutz developed a methodology in a broad and adequate sense.

What is a methodology in a broad and adequate sense? In what sense can Schutz's work be considered a methodology in a broad sense? Which topics does such a methodology deal with and how does it deal with?

Embree asks in another essay, "what is methodology for Schutz? … [M]ethodology is concerned with what scientists investigate and how they investigate" (1999: 107). In this essay he, taking the similarities and the differences between Schutz and Aron Gurwitsch into account, refers to the Schutz's statement that thematic structure is essential to consciousness, that is, there is always a theme within the field of consciousness, and defends Schutz against Gurwitsch's criticism for being a dualist "for whom all structure in perceptual objects comes from intellectual operations" (ibid.: 111). However, in examining Schutz's conception of the "constructs" and "meaning," Embree points out a problem with his formulation of the most general principle of the methodology of the social sciences. He says that Schutz's conception of "meaning" cannot cover "essentially actual experiences," which

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are central to cultural scientists as well as to actors in their everyday lives (cf., ibid.: 123). Therefore, Schutz's formulation of the principle of methodology, that is, "objective meaning contexts about subjective meaning contexts" and "second-order constructs about the first-order constructs of everyday life and common-sense," he argues, need to be developed supplementally in the spirit of Schutz and reformulated as "contexts of scientific outsider constructs of common-sense insider constructs and cultural objects." (ibid.: 125)

His description of Schutz's methodology of the social sciences and his original three categories of "meaning," that is, "insider-outsider," "personal-communal," and "referential-non-referential," which he introduced "in the spirit but beyond the letter of Schutz," are worth further serious discussion (cf., ibid.: 115–120, also Embree, 1991). According to the theme of this essay, however, there is no need for discussing these issues. What is needed here is to point out the topics which he treated as topics of Schutz's methodology, since his observation "methodology is where human scientists and philosophers can meet" and his distinction of "meaning" into three categories are derived from his discussion of these topics. Embree dealt with the relation between experience and constructs or typification, and also between first-degree and second-degree constructs seriously.

I turn now to a brief sketch of what is methodology of the social sciences in a narrow sense and in a broad sense, and then try to explore Schutz's methodology of the social sciences in order to argue in the spirit but beyond the letter of Embree that the methodology of the social sciences is where the social scientists, philosophers and, in addition, the persons on the street should meet.

2   Methodology of the Social Sciences

Methodology of the social sciences can be generally considered as a discipline for examining how to reach or produce *adequate* and *reliable* knowledge of the subject matters, that is, social reality or social phenomena. University students, *therefore*, learn in the course of studying the methodology of the social sciences, for instance, what is a chi-square test, what is Gini's coefficient, how to design survey or field research, how to conduct interviews, how to make content analyses, how to administer questionnaires. They are required to learn indicators, scales, and research techniques which are approved as devices for reaching reliable knowledge about the social phenomena involved. They, as a consequence, will be taught to consider these topics as exclusively constituting the body of methodology of the social sciences. This approach is currently a common story of university students in Japan, as seen in our empirical research in syllabi of the last forty years relating to sociology.[1]

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[1]This empirical and theoretical research started under grants from Waseda University and the Japan Society for the Promotion of Science in 2006. The syllabi from 1965 to 2006 for sociology courses have been collected from twenty-five major universities in Japan and are now going to be analyzed from the viewpoint of the sociology of knowledge.

It might be not the case, however, with students taking a course in "Methodology of the Social Sciences" offered by Schutz at the New School for Social Research. It is impossible for me to know precisely how his lecture actually developed and what topics were actually treated. I can, however, surmise which topics he intended to deal with in his "Methodology" course. The syllabi of his Methodology course in 1951 and 1958 and a two pages document entitled "tentative program" for the course in 1951, which are now deposited in the Schutz Archive at Waseda University, show the topics which were scheduled to be treated. Among various topics listed in these documents are: the natural sciences and the social sciences; the objectivity of the social sciences, value-free, value judgments; a fact and a social fact, an object, data, meaning, objective-subjective interpretation, understanding, explanation; constructs and typologies, ideal types, adequacy of meaning, relevance, social causation; the concept of rationality, measurement, and experiment, hypothesis and verification; mathematization; prediction, uniformity of world (nature & society), probability, common sense thinking and scientific thinking, world as taken for granted; the social system, history, action, motives, interests, choosing; social person and role, structure of social world. (Schutz, 1951a).[2]

As for his published essays, Part One of his *Collective Papers*, *Vol. 1* is entitled "On the Methodology of the Social Sciences." This title was given by Schutz himself. According to his original plan arranged in February 6, 1959, this part was projected to consist of five essays, including "The Problem of Rationality in the Social World" (1943), and "The Dimensions of the Social World" (1964) which are now included in *Collected Papers*, *Vol. 2*, in addition to the three essays which are included in this Part of Volume 1 as the original plan indicated, i.e., "Common-sense and Scientific Interpretation of Human Action" (1953), "Concept and Theory Formation in the Social Sciences" (1954), and "Choosing among Projects of Action" (1951c).

Present-day university students whose major is a discipline among the social sciences and who are familiar with university lectures on the methodology of the social sciences might be surprised and feel strange to encounter the topics of Schutz's lectures on methodology and read essays in Part One of his *Collected Papers*, *Vol. 1*. There are obvious differences between the topics familiar to them and the topics of Schutz's lectures and essays. Where are differences derived from?

Some might offer the answer that Schutz's essays and lectures appeared in the 1950s and were based on some old-fashioned ideas. This answer is flawed. It disregards, at the very least, a historical fact in sociology: Schutz's work, especially his methodological work, pervaded sociology under circumstances of the "coming crisis of Western sociology" (cf., Gouldner, 1970), and this "crisis" was derived from sociology's inability to describe people's everyday experience of those days, which was, in turn, derived from sociology's indifference to the limitations of so-called "grand theory" and "abstracted empiricism" (cf., Mills, 1959) as well as mathematization and statistics.

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[2]This selection is offered not arbitrarily but in reference to the topics which Schutz suggested as the subjects for students' term papers (cf., 1951b).

The difference between the two kinds of methodology of the social sciences is, among other things, derived from different ways to make knowledge of social phenomena adequate and reliable. There are, roughly speaking, two ways for assuring the adequacy of investigation into social phenomena and the reliability of social scientific knowledge produced by social research. The one is a way to control and lead research according to so-called "scientific methods," that is, scientific indicators, scales, and research techniques which are approved as effective devices for reaching adequate and reliable knowledge. Such a view can be called "scientism" in the sense that it is based on the idea that only "scientific" methods can assure adequacy and reliability of research findings and knowledge.

This is not the view which Schutz took in his methodology of the social sciences, as can be understood immediately if one just looks at his methodological topics mentioned above. His arguments about methodology were not devoted to developing so-called "scientific methods" nor to elaborating the ways to use them. He developed his arguments in another direction. Then, what direction did he take? What features can be found in his methodological essays?

3   Schutz's Methodology of the Social Sciences

Schutz's discussions of the methodology of the social sciences have three foci, which are related to each other: experience in the everyday life world, experience in the world of social scientific theory, and the relation between experience in the everyday life world and experience in the world of social scientific theory.

3.1   Toward Experience in the Everyday Life World

Schutz's whole intellectual life was devoted to exploring *experience* including perceiving, interpreting, knowing, and acting in the everyday social life world. The focus of his methodology was on this theme, since he realized that the subject matter of the social sciences is social phenomenon or social reality. He understood the term "social reality" as "the sum total of objects and occurrences within the social cultural world as *experienced* by the common-sense thinking of men living their daily life among their fellow-men, connected with them in manifold relations of interaction" (Schutz, 1954: 53, italic added). He, therefore, tried to explore social reality *through experience in the everyday life world*. He saw, as Max Weber did, that the fundamental science of the social world is nothing but the science of social action" (cf. Schutz and Parsons, 1978: 102).

Schutz's investigations of everyday experience is firmly founded on his phenomenological insights. It might be more precise to say that it is this theme that led him away from the so-called Bergsonian period and to phenomenology. Such an "unusual approach to Husserl" restricted Schutz's concerns with

phenomenology to the "constitutive phenomenology of the natural attitude," because he felt that "the main importance of phenomenology for any attempt at exploring social reality consisted in the fact also established by Edmund Husserl that all knowledge achieved by analysis of the reduced transcendental sphere remained valid within the natural attitude" (Schutz, 1977: 42), and that "the descriptive analysis cannot be driven to an 'absolute-zero' state of knowledge" (Schutz and Luckmann, 1975: 316).

Schutz, founding himself on phenomenology, rejects the scientific methods which try to resolve experience into elements, and attempts to describe it more honestly. He therefore criticizes a Ernest Nagel's and Carl G. Hempel's scientific method of "identification of experience with sensory observation in general and of the experience of overt action in particular" (cf., 1954: 52–54). He also rejects Talcott Parsons' assumption of "unit acts" as the last elements into which a concrete system of action can be broken down, and as having three characteristics: a given actor, a given situation (including conditions and means of the act), and a given normative value orientation as the relationship between those other elements (cf., Schutz and Parsons, 1978: 37). Their assumptions are only for the sake of scientific convenience to make their analyses clear or simplified, limiting phenomenon by invoking so-called objective and scientific criteria and resulting in the exclusion of important phases or dimensions of experience and action from all possible inquiry.

Schutz's inquiry into everyday experience is turned toward what makes experience or a unity of experience possible. Experience occurs in the *situation* and has always and already the object experienced as a "*theme*." The object can be either actual or imaginary and can be either in the present or the past or the future, but I experience the object just now, that is, I experience present or past or future objects and events just now. Furthermore I always and already experience the object *as such and such* through *typification* on a basis of my past experience sedimented into explicit or tacit knowledge at hand and in anticipation of the future. This means that "strictly speaking, there are no such things as facts, pure and simple. All facts are from the outset facts selected from a universal context by the activities of our mind. They are, therefore, always interpreted facts, either facts looked at as detached from their contexts by an artificial abstraction or facts considered in their particular setting. In either case, they carry along their interpretational inner and outer horizon" (Schutz, 1953: 5).

Schutz tries to grasp such experience more honestly as it unfolds and from the point of view of the person involved, and therefore, he asks why I select, choose, and interpret this object as such and such. His theory of *relevance* is required here,[3] since "the constitution of a circumscribed theme in the flow of experience, the determination of situation, the way certain experiences become problematic, the explications related to problematic experiences, sedimentation of results of explication in the stock of knowledge, … all these processes are conditioned by the current subject-relevance system" (Schutz and Luckmann, 1975: 252). In consequence, for instance,

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[3]As for Schutz's theory of relevance, see Schutz (1970) and also Embree (1977), Srubar (2007: 151–171), Nasu (2008, forthcoming).

"meaning," "typification," "knowledge at hand," "theme and horizon," "selection and choice," and others like these become key concepts in his inquiry into experience, all of which have no importance in Nagel's and Hemple's as well as in Parsons' analysis of experience.

3.2   Toward Experience in the World of Social Scientific Theory

The second focus of Schutz's discussion of the methodology of the social sciences is on the distinctive features of experience in the world of social scientific theory. This theme is treated in two directions: in comparison with the everyday life world and with the world of the natural sciences. (The latter will be touched on in the next section.)

As shown above, in the everyday life world we perceive, interpret, and act upon, in a word, experience objects and events appearing to us through typification. This holds true with social scientific experience. There are, however, differences between them. This is shown clearly in Schutz's earlier essay on "rationality" (1943).

Schutz starts his description in this essay by citing Parsons' definition of rational action: "Action is rational in so far as it pursues ends possible within the conditions of the situation, and by means which, among those available to the actors, are intrinsically best adapted to the end for reasons understandable and verifiable by positive empirical science," and states that "this definition gives an excellent résumé of the widely used concept of rational action in so far as it refers to the level of social theory. It seems important, however, to make more precise the peculiarity of this theoretical level by contrasting it with the other levels of our experience of the social world" (cf., ibid.: 64–65).

According to Parsons' definition of rational action, a contribution of positive empirical science must be required in order to making a judgment about rationality. Schutz accepts this *clear and distinct* definition and observes that this definition is available only within the world of science, and then points out the importance of making precise the *peculiarity* of the theoretical level. He wants to make more precise the *difference* between social scientific experience and everyday experience.

The direction of Schutz's description is the complete opposite of Parsons'. Parsons wants to conduct his analysis "in terms of the analogy between the scientific investigators and the actors in ordinary practical activities," by saying that "there is, where the standard [of rationality] is applicable at all, little difficulty in conceiving the actors as thus analogous to the scientist" (quoted in Schutz, 1943: 65). Parsons seems to take for granted a similarity or continuity between everyday experience and scientific experience and reduces differences between them to a degree of "refinement" or "sophistication" (cf., Schutz and Parsons, 1978: 167, 177). This means that they are differentiated by introducing the so-called objective and external criteria from the outside and that the starting point of this continuity is not in the everyday life world but in the world of science. Scientific experiences are considered as simply more refined and sophisticated. According to Parsons' idea, in so far as everyday

action could meet the objective criteria based on or derived from science, such an action could be called "rational." Schutz's description in his "Rationality" essay proceeds from examining "different *levels* in observing the social world" via describing the "social world as it appears to the actor within this world in his everyday life" to examining "the social world as it is given to the scientific observer." His descriptions are very clear and most interesting, but it is not for us to elaborate them here.

Now I wish to turn my attention to another most notable essay of Schutz, "On Multiple Realities" (1945), which appeared only three years after his "Rationality" essay had come out. If one reads the title of each section in this essay, one immediately realizes the striking similarity between these two essays. He begins his "Multiple Realities" essay with an analysis of the world of daily life as a reality, proceeds to exploring "the many realities and their constitution" and describing "the worlds of phantasms" and "the world of dream" as examples of many realities, finally to analyzing "the world of scientific theory."

This essay is devoted to providing conclusive evidence firmly founded on his phenomenological insights for the differences between the realities. Schutz, sharing with Husserl the fundamental thesis that "*all real unities are 'unities of meaning'.* … Reality and world … are just the titles for certain valid *unities of meaning*" (Husserl, 1950: 120), states clearly that "it is the meaning of our experiences and not the ontological structure of the objects which constitutes reality" and calls a certain set of our *experiences* a "province of meaning" if all of them show a specific cognitive style and are – *with respect to this style* – not only consistent in themselves but also compatible with one other" (1945: 230). He says furthermore that "there is no possibility of referring one of these provinces to the other by introducing a formula of transformation" and concludes that each province is *finite* in this sense (ibid.: 232).

His description in the "Multiple Realities" essay provides a firm foundation for his "Rationality" essay. In discussing Parsons' definition of "rationality" in the latter essay, Schutz introduces the terms "*level*" and "*the point of view*" and speaks of "passing from one level to another" and "differentiations between the points of view" in order to assert that Parsons' "rationality" is a term within the level of theoretical observation and interpretation of the social world (cf., 1943: 67ff.). In the "Multiple Realities" essay, he introduces the more elaborated term, "cognitive style," which consists of a specific form of tension of consciousness, of epoché, of spontaneity, of experiencing one's self, of sociality, and of time-perspective (cf., 1945: 230), and makes it clear that both the everyday life world and the world of social scientific theory are finite provinces of meaning in the same sense and with the same rights. They are demarcated by a criterion *intrinsic to the actor's experience*, more precisely to *the actor's consciousness*, that is, "cognitive style."

This is, however, but half of the story. If we can take for granted neither similarity nor continuity between experience in the everyday life world and experience in the world of social scientific theory, and if we cannot reduce the differences between them to a degree of "refinement" or "sophistication," and if we are interested in the social sciences and its subject matter, i.e., social reality as the sum total of objects and occurrences experienced by common-sense thinking of the actors in the everyday life world, we should, furthermore, ask seriously about the relation between

experiences in these two worlds. How can the social scientists talk about everyday experience adequately? The answer to this question is the third focus of Schutz's methodology of the social sciences.

3.3   Toward a Relation between Experiences in the Everyday Life World and in the World of Social Scientific Theory

This theme involves various topics and Schutz discussed them in his many works. His arguments for making precise the difference between the reality of everyday life and scientific reality in his "Rationality" and "Multiple Realities" essays bear a close relation to this theme. He said clearly that "we shall have to examine the question of whether the categories of interpretation used by the scientist coincide with those used by the observed actor" (1943: 65), and "we are especially interested in the relations between the provinces of the world of daily life and the worlds of the sciences, especially of the social sciences and their reality" (1945: 234). Here I focus on his attempts to make "*precise*" basic sociological concepts or elementary ideal types and his attempts to make "adequate" social scientific theory and "constructs" or historical ideal types, that is, his discussion of the methodological "postulates."

3.3.1   Attempts to Make Precise Basic Sociological Concepts

Generally speaking, Schutz's arguments about basic sociological concepts such as "meaning," "action," "social action," and "social relation," begin by pointing out the ambiguities inherent in Weber's definitions and proceed to clarify and refine them. There is no need here for following his criticism on each concept in detail. It is sufficient here to set out his basic bearings which lead his way to criticizing and refining the basic concepts defined by Weber.

Schutz, although appreciating Weber's fundamental ideas, criticizes his definitions of basic sociological concepts in terms of their several aspects, but closer investigations reveal that his various criticisms are founded on his criticisms of two major aspects, which are, in turn, founded upon a fundamental aspect as it will be shown later. One critique is directed toward Weber's indifference to the time-dimension of social phenomenon, and the other is toward the insufficiency of his distinction between subjective and objective points of view.

Regarding the first aspect, one might, for instance, refer to Weber's description about "social action" and say that he took the time-dimension into account in his definition. He, indeed, said that "social action can be oriented to the past, present, or expected future behavior of others" (Weber, 1921: 11). But, unfortunately, he merely indicated it and did not make clear the differences between actions oriented to the past behavior of others and to the present or expected future behavior of others. The differences between them cannot be negligible, and they can be easily recognized if one takes notice that although there is no chance for me to act upon

nor alter nor delete the past behavior of others, I have a chance, more or less, to act upon and influence the other implicitly or explicitly, and even constitute the present or expected future behavior of others. It makes no sense to say that I am performing this action *in order to* dissuade my friend from his behavior which has already been completed and brought about certain results. The past behavior of the others can be situated only in the *because-context* for my present action.[4]

Weber's indifference to the time-dimension of social phenomenon is, in my opinion, based on the insufficient attention he devotes to the specific nature of the phenomenon of "meaning." The term "meaning" is the core of his "*verstehende Soziologie*," but, unfortunately, he said nothing about "meaning" except to indicate the two (more precisely three) *forms of meanings* (cf., ibid.: 1). He did not realize that "meaning" is the most fundamental phenomenon just because all real unities are unities of meaning, and reality and world are just the titles for certain valid unities of meaning. The meaning of our experiences constitutes reality in this sense.

Fundamental phenomenological insights should be introduced here. The problem of meaning is a time problem, but not a problem of physical spatial-time nor a problem of historical time but a problem of inner time-consciousness or consciousness of one's own duration (cf., Schutz and Parsons, 1978: 92). Our experience is always in the flow of time, and the meaning of our experience cannot be explored without turning to its time-dimension. Weber did not pay attention to this fundamental and constitutive aspect of meaning and therefore of social phenomenon, and consequently left ambiguities and confusions in his definition of basic sociological concepts.

Schutz's arguments related to basic sociological concepts are founded on these fundamental insights. He developed his description by referring back to the level of *intentionality of consciousness* and reached a definition of primordial "meaning": to attach a meaning to an experience means to set a boundary for it and make it stand out against the stream of experience through turning to it. Two statements, "an experience is meaningful" and "an experience is turned to," are equivalent (cf., 1932: 128, 172). Based on this definition of meaning, he rejects Weber's criterion for distinguishing "action" from "behavior," i.e., whether "subjective meaning" is attached or not, and introduces his original criterion that action has a specific meaning which is not attached to behavior, and finally reaches a precise definition of action: the term "action" shall designate human conduct as an ongoing process based upon a preconceived project, or more precisely, experiences that derive their meaning from their relation to a human project are called acts, and "action" designates primarily the step by step performance of an act (cf., 1953: 19, Schutz-Luckmann, 450, 465). Thus his theory of action is constructed and elaborated by focusing on a *project* of action (cf., Schutz, 1951c). He said affirmatively that "it is impossible to interpret an objectively given series of acts as an unity and to ascribe a subjective meaning to them without referring back to a pre-given project" (1932: 398). "Project" is, needless to say, a concept thoroughly penetrated by time-consciousness.

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[4]This leads to the distinction between "in-order-to" motive and "because" motive introduced by Schutz.

The same holds true for Schutz's criticism of the insufficiency of Weber's distinction between subjective and objective points of view, for his criticism of this aspect is founded on his description and definition of "meaning." This distinction is at the core of Weber's methodological program called "*verstehende Soziologie*," since this program stands out against other programs by his distinguished ideas that the science of social action should be considered as the fundamental science of the social world, and that action is defined in terms of subjective meaning, and that the most important stage of social research is, as the title of this program shows clearly, "*Verstehen*" (interpretative understanding) of *subjective meaning* which is attributed either by an actor in a historical given case, or by actors averagely in many cases, or by a constructed typical actor or actors in a constructed pure type (cf., Weber, 1921 :1).

In spite of its importance, Weber did not investigate the phenomenon of *Verstehen* seriously nor attempt to make precise the distinction between subjective and objective meaning. Let me take an example. He defined the concept of "social relation" as follows: "the term 'social relation' will be used to denote the behavior of a plurality of actors in so far as, in its meaningful content, the action of each is mutually adjusted one another and is oriented in these terms. The social relation thus consists entirely and exclusively in the existence of a *chance* that there will be, in some meaningfully understandable sense, a course of social action …. Thus, as a defining criterion, it is essential that there should be at least a minimum of mutual action to each other" (ibid.: 13). If "social relation" is defined in such a way, it is essential to refer to the subject who is assumed to be taking advantage of a chance of social relation, but Weber did not do so. Whenever social relations are thematized, the distinction between "objective chance" and "subjective chance" must be taken into consideration, but, unfortunately, in part due to his disposition to "assume naively the world in general and thus the meaningful phenomenon of the social world as a matter of intersubjective conformity in the same way as we in daily life reckon naively with the pre-givenness of the homogeneous external world conforming to our comprehension" (Schutz, 1932: 88), Weber paid little attention to this distinction and consequently left ambiguities and confusion in his definition of social relation.

Schutz's criticism and attempts to make precise Weber's definition of "social relation," then, starts from carefully and clearly distinguishing the actors from the observers and intentionally and decidedly takes an actor's point of view in the subsequent description.[5] It is because his penetrating and firmly founded analysis of everyday experience arrives at the dictum that *it is the actor and not the observer of his action* who is alone able to draw the line called *the "level" of investigation*, which delineates the point beyond which the actor's actual interest no longer requires that he pursue the chain of motivated interconnectedness (cf., Schutz, 1970, 51).[6]

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[5]I have elsewhere discussed Schutz's criticism and a way to attempt to refine Weber's definition of social relation: see Nasu (1998), especially pp. 136ff.

[6]Schutz formulated "the general thesis of the alter ego" and pointed out correctly that "I know more of the Other and he knows more of me than either of us knows of his own stream of consciousness" (1943: 175). This is, however, another story, worthy of future consideration.

3.3.2   Attempts to Make Adequate the Social Scientific Theory and Constructs: On the Methodological Postulates

Schutz's criticism of Weber's insufficient distinction between subjective and objective point of views can be developed into description on our second topic, the relation between everyday experience and social scientific experience.

Weber originally introduced a method of "*Verstehen*" (understanding) for dealing with the subject matters of the social sciences *adequately*. This idea is undoubtedly one of his greatest contributions to the social sciences, especially sociology. "*Understanding*" was, for him, a method used exclusively by the social scientist and, therefore, in the *objective* and scientific context. This method is, however, as Schutz pointed out correctly, of broad range; it is primarily "the particular experiential form in which common-sense thinking takes cognizance of the social cultural world" (1954, 56). This is the very reason why "*understanding*" can, and for a certain purposes should, be used for explaining social phenomena adequately in the social sciences. "*Understanding*" as a social scientific method can only be justified by the fact that the actors actually use *understanding* when they experience social phenomena in the everyday life world.

Since *understanding* is an experiential form in the everyday life world, the social sciences can and should use this method for explaining the social phenomenon. This point, however, is only half of the story, important as it is. As mentioned above, there are differences between everyday experience and social scientific experience. The social sciences, therefore, have to construct thought objects of their own which not only *refer to* and are *founded upon* but also *supersede* the thought objects constructed by the common-sense thought of man living his everyday life among his fellow-men (cf., 1953: 4–6, 35–36, also 1932: 89–90). Schutz's attempt to formulate his methodological postulates was focused on these seemingly "paradoxical" requirements.

Schutz formulated the postulates of "subjective interpretation," of "adequacy," and of "rationality" in his "Rationality" essay (1943); the postulates of "relevance," of "adequacy," of "logical consistency," and of "compatibility" in his essay reviewing Parsons', *The Structure of Social Action* (Schutz and Parsons, 1978); and the postulates of "logical consistency," of "subjective interpretation," and of "adequacy" in his Princeton paper (1953) and "Theory Formation" essay (1954). Close investigation of his formulations reveal that three of the four postulates in his review essay for Parsons' book (i.e., the postulates of logical consistency, of relevance, and of compatibility) correspond to the requirements in the formula of the postulate of rationality in the "Rationality" essay, and these requirements, in turn, are condensed into the postulate of logical consistency in the Princeton paper. The postulate of logical consistency is formulated in two ways: *in a narrow sense*, which requires the system of scientific constructs to be "in full compatibility with the principles of formal logic" (Schutz and Parsons, 1978: 69), and *in a broad sense*, which contains not only the postulate of logical consistency in a narrow sense but also the postulate of *relevance*, which require social scientists to comply with the principle of relevance. It is sufficient here to

consider the three postulates of subjective interpretation, of logical consistency, and of adequacy, provided it is recognized that the postulate of logical consistency is a notable condensation of these.

The postulate of subjective interpretation, which is primarily a general principle for constructing course-of-action types in common sense experience and also applicable to each level of social research, requires social scientists to "refer to the subjective meaning of the actions of human beings from which social reality originates" (Schutz, 1954: 62, cf., 1953: 25, 34). This postulate is focused on providing the guarantee that social scientific constructs "refer to" and "are founded upon" common sense constructs. On the other, the postulates of logical consistency and of adequacy are focused on providing the guarantee that social scientific constructs are "by no means arbitrary" (Schutz, 1954: 64). These postulates are, however, different from each other in their way of achieving this guarantee.

The postulate of logical consistency, which is applicable only to the theoretical sciences (cf., Schutz, 1943: 86), is intended to give such guarantees by *differentiating* the world of social scientific theory from the everyday life world and then establishing the *unification of the social scientific field*. This postulate in a broad sense, as mentioned above, requires social scientists to comply not only with the principles of formal logic but also the principle of relevance, i.e., the principle of reflexivity between the "objects" constituted by the subjects and the subjects constituting the objects. It follows that this postulate requires social scientists to put the natural attitude into brackets and determine what has to be investigated and what can be taken for granted, that is, the "*level*" of investigation, solely on the basis of the scientific problem which they themselves have posited. According to Schutz, differentiation and unification can be established adequately not only in compliance with the principles of formal logic but also with the principle of relevance.

The postulate of adequacy is formulated as follows: "each term in a scientific model of human action must be constructed in such a way that a human act performed within the life-world by an individual actor in the way indicated by the typical construct would be understandable for the actor himself as well as for his fellow-men in terms of common-sense interpretation of everyday life" (1953: 44). This postulate shares specific features with each of the other two postulates, that is, its applicability to each level of social research with the postulate of subjective interpretation (cf., Schutz, 1943: 85–86), and its intention to provide the guarantee against arbitrariness of social scientific constructs with the postulate of logical consistency (cf., Schutz, 1954: 64). In this sense, not only does the postulate of subjective interpretation find its complement in the postulate of adequacy (cf., 1943: 85), but also the postulate of logical consistency finds its complement in this postulate.

Schutz introduced the postulate of adequacy from Weber's terminology (cf., ibid.: 85). Weber, taking a Neo-Kantian methodological and epistemological view, introduced the objective and hypostatized category of *cultural value* (or *cultural significance*) to provide the guarantee against arbitrariness of social

scientific constructs (cf., Weber, 1904: 178), and was consequently bothered with the so-called "*irrational cleft* (*hiatus irrationalis*)" between concept and reality (cf., Weber, 1903–1906: 15). Schutz, however, founding his description upon the phenomenological insight that "in the natural attitude things in the factual world are from the outset experienced as types" (1959: 97), depends upon the premise that "the perceived objects of the 'outer world' is the concrete object and the two terms, 'perceived object' and 'concrete object' are synonymous and interchangeable" (cf., Garfinkel, 1953: 5). Schutz's postulate of adequacy, therefore, aims at providing the guarantee against arbitrariness of social scientific constructs by "eliminating all type-transcendent behavior" (1932: 423, cf., 1953: 38, 46, 1970: 63–64) and, as shown in the formula, requiring social scientists to leave an assessment of adequacy to the "*actor*" and "*his fellow-men*" on the scene of social reality.[7]

4 Concluding Remarks

The subject matter of the social sciences is obviously and undoubtedly social reality, which is the sum total of objects and occurrences within the social cultural world as *experienced* by the common-sense thinking of the persons living their daily life among their fellow-persons. Schutz's arguments concerning the methodology of the social sciences were, therefore, oriented primarily toward how to describe *everyday experience* honestly and precisely. But to describe objects and occurrences honestly and precisely is not to accept them naively as they are experienced in the everyday life world, since experience proceeds from certain taken-for-granted assumptions. The structure of experience and "the conditions for the possibility of knowledge" should be, among others, inquired seriously, instead of beginning inquiry with the objects of experience (cf., Natanson, 1978: xii).

Schutz, then, carried out his constitution analysis[8] within the "phenomenologically reduced field of consciousness" (cf., 1932: chap. 2) and formulated precise definitions of "meaning" and "action." He also proposed dictums that structurization by pre-acquaintedness and un-acquaintedness is a fundamental feature of our consciousness of the world (cf., 1959: 95) and that there is no such thing as a type as such, but only types related to particular problems and the level of research, carrying "subscripts" referring to the problem for the sake of which they have been formed (cf., 1970: 63–64, also 1953: 38). Schutz's work could be called

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[7]About Schutz's methodological postulates in detail, see Embree (2003, 2005), Nasu (2005).

[8]Schutz conceives "constitution" as "clarification of the sense-structure of conscious life, inquiry into sediments in respect of their history, tracing back all *cogitata* to intentional operations of the on-going conscious life," and said that it is just these discoveries of phenomenology which are of lasting value for the foundation of the social sciences (cf., 1957: 83).

phenomenological in this sense. His concerns, however, as he made clear, were primarily with the description of everyday experience and also with "the foundation of the social sciences" (1977: 42), and his description and formulations were developed into the methodology of the social sciences.

Schutz's methodology of the social sciences, led by and founded upon such phenomenological insights, consists of attempts to provide firmly founded evidence as to the *similarity* and the *difference* between everyday experience and social scientific experience. It can be said that his attempts to make precise the basic sociological concepts or elementary ideal types are mainly founded on his insights into the *similarity* between them. He tries to make them precise not by introducing some external criteria but by founding them upon the *eidetic* structure of experience, tracing them back to the intentional operation of on-going conscious life, in a word, by *radicalizing* the concepts. Here can be found a transformation of the meaning of "clarity and distinctness" as a postulate of the modern social science.

On the other hand, his insights into the *difference* between everyday experience and social scientific experience resulted in attempts to formulate the methodological postulates for making adequate the so called "constructs of the second degree" (cf., 1953: 6) or historical ideal types. It is true that his methodological postulates are formulated to give "the necessary guarantees that the social sciences do in fact deal with the real social world, the one and unitary life-world of us all, and not with the strange fancy-world independent of and without connection to this everyday life-world" (Schutz and Parsons, 1978: 60). In this sense, the postulates are focused on how to establish adequate relations between everyday experience and social scientific experience. But adequate relations can be established only when the differences between them are identified precisely. If description were to start with assuming or taking for granted the similarity between them as Parsons did, there would be no need for serious efforts to establish the relations between them. Such description, consequently, might lead either to introduce everyday experiences implicitly, unconsciously, and uncritically into the world of social scientific theory, or to conceal them under refined, sophisticated, and objective experiences idealized in the social scientific theory (cf., Husserl, 1962: 51–52). Here is the origin of Schutz's criticism on Parsons' definition of "fact" and his conception of "subjective point of view" (cf., Schutz-Parsons, 1978: 10, 36).

Schutz's methodological postulates require social scientific constructs to "refer to" and "be founded upon" (by the postulate of subjective interpretation) and also to beak away from (by the postulate of logical consistency) everyday experiences. When they can fulfill these two seemingly contradictory requirements, they *might* be adequate. But they could be *finally* (and yet still *tentatively in a sense*)[9] said to

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[9]Embree said that "Schutz believed methodological clarification essential to *the progress of science*" (1980: 373; italic added). I believe firmly that Schutz's attempts to make precise basic sociological concepts and to make adequate social research and social scientific constructs will contribute to *the progress of science*. But just one point should be added here. It is what "the progress of science" means. According to Schutz's methodological framework, the "progress of science" has no unilateral and evolutionary implications as does Parsons' idea, in which four different levels of systematization of conceptual schemes are distinguished in order of their

be adequate only when the postulate of adequacy can be fulfilled even further. This postulate, as shown above, leaves an assessment of a construct's adequacy to the actors and their fellow persons *on the scene of social reality*.

One might criticize Schutz's methodological postulates because of their "contradictory" requirements and the "impossibility" of their fulfillment. But this seeming "contradiction" and "impossibility" would become genuine and existential only as long as the everyday life world and the world of social scientific theory are hypostatized and considered as "ontological static entities, objectively existing outside the stream of individual consciousness within which they originate" (Schutz, 1945: 257–258). These two worlds or realities, however, are "merely names for different tensions of one and the same consciousness, and it is the same life, the mundane life … which is attended to in different modifications" (ibid.).

The seemingly "contradictory" nature of the requirements of Schutz's postulates, I argue, is not their defect at all. It is their very nature that ensures the open and creative relation and thus mutual criticism between common sense thinking and social scientific thinking. Schutz's methodology of the social sciences, by virtue of its double orientations, leads to a critique of common-sense thinking from the point of view of social scientists and at the same time to a critique of social scientific thinking from the point of view of persons on the street.

In order for social scientists to address both orientations, according to Schutz's methodology, they should make their basic and elementary concepts *radicalized*, that is, they should found them on the *eidetic structure of experience*. They should not start their research with the objects of experience but trace them back to the intentional operations of the on-going conscious-life and inquire into sediments. They should also circumscribe their field of research and keep its unification not only in terms of external criteria such as the principles of formal logic but also of the "level" of their research which, in turn, depends upon the principle of *relevance*. In theses respects, *social scientists should meet philosophers, especially phenomenologists*.

'primitiveness' relative to the final goals of systematic endeavor, that is: (1) *ad hoc* classificatory systems, (2) categorial systems, (3) theoretical systems, (4) empirical-theoretical systems (cf., Parsons-Shils, 1951: 50–51). What Schutz's methodology can contribute to is, I argue, rather the progress of science in Weber's sense. He said that "the thought apparatus which the past has developed … through arrangement of the immediately given reality into concepts which correspond the state of its knowledge and the focus of its interest, is in constant tension with the new knowledge which we can and desire to wrest from reality. The progress of cultural science occurs in this conflict. … Thus, the history of the sciences of social life is and remains a continuous changing process passing from the attempt to order facts in thought through the construction of concepts – the dissolution of the thought constructs so constructed through the expansion and shift of the scientific horizon – and reconstruction anew of concepts on the foundations thus transformed. … This process shows that in the sciences of human culture concept-construction depends on the setting of the problem, and the latter varies with the content of culture itself" (Weber, 1904: 207). Obvious similarities can easily be found between Weber and Schutz in respect to the view of the social sciences and their progress.

Furthermore, social scientists should put their findings or constructs to the test of common sense thinking in order to ensure their adequacy. *Social scientists, therefore, should also meet persons on the street.* When the condition is fulfilled that understandable relations obtain between what is attributed to the personal ideal type and the actual conduct of the corresponding actor *on the scene of social reality*, then social scientific constructs can be said to be adequate (cf., Gurwitsch, 1966: xxix).

Thus, it can be concluded that Schutz's methodological postulates make sense only when these three postulates are formulated together. They unite to require that *social scientists, philosophers and persons on the street should meet* in methodology of the social sciences.

One question is left: Who is committed in methodology of the social sciences? Embree had said in his earlier essay that "Schutz believed methodological clarification essential to the progress of science, but it is not clear who in his view was to develop and have such a methodological clarification" (1980: 373) and said later that "methodology can itself be done by scientists for scientific purposes and by philosophers for philosophical purposes" (1999: 107). But after exploring Schutz's methodology thus far, I can rather agree with Natanson who said, "it is impossible to effect a division of labor and say that the sociologist concerns himself with ideal types whereas the philosopher takes up intentionality. It should be clear by now that in Schutz's sociology, taking up ideal types is exploring the intentionality constitutive of all typification. Conversely, in Schutz's phenomenology, turning to the nature of inner-time consciousness is investigating the exemplifications of intentional life in the natural attitude. At their theoretical fundament, sociology and philosophy are one" (Natanson, 1970: 120). It is just "their theoretical fundament" that Schutz dealt with through all of his intellectual life, and especially through his arguments regarding the methodology of the social sciences. Schutz was undoubtedly "neither a philosopher who knew a great deal about sociology nor a sociologist intimately acquainted with philosophy" (ibid.). He was a sociologist *and* a philosopher at the same time. When he was asked in which field he was working, he actually answered: "in philosophy and sociology" (cf., I. Schutz, 1981: 5).

Now I want to make answer the question: Who is to provide methodological clarification and conduct research in terms of it? It is the person who is a social scientist and a philosopher at the same time, and oriented to the persons on the street. I would like to say that it is the person characterized by an ideal type of knowledge Schutz called the "well-informed citizen," who stands between the ideal types called "the expert" and "the man on the street" (Schutz, 1946: 123),[10] or, borrowing from the Michael Barber's terminology, although changing its implication slightly, the "participating citizen" (Barber, 2004).

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[10] I have elsewhere discussed the relation between Schutz's idea on the "well-informed citizen" and the methodology of the social sciences: see Nasu (2005).

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Part V
Phenomenological Philosophy and Analytic Philosophy

Phenomenological *Wissenschaftslehre* and John McDowell's Quietism

Michael D. Barber

One of the great contributions of Lester Embree has been his recognition that the works of great phenomenologists such as Edmund Husserl, Alfred Schutz, and Aron Gurwitsch aim at providing a *Wissenschaftslehre*, that is, a philosophical framework within which the various sciences (in Schutz's case, particularly the cultural sciences) and modes of knowing can be appropriately situated with regard to philosophy and each other.[1] According to Husserl, whereas naïve knowing consists in knowing this or that thing, philosophical knowing is the universal knowing of the knowing of these things and of the objects of knowledge at their different levels and according to their various subjective modes; it constitutes a philosophical doctrine of the sciences (*Wissensschaftslehre*) which encompasses all questions of meaning (*Sinn*) and culminates in the question about the ultimate theoretical sense

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[1]See for instance Embree, "Continuing Husserlian Phenomenology" in an online set of papers on the future of phenomenology sponsored by the New School for Social Research at website: http://www.newschool.edu/nssr/Husserl/Future/Part %20One/Embree/html. There Embree comments:

"The three teachers of the New School were also exemplary with respect to Husserl's own research focus. Under the influence of Martin Heidegger, Eugen Fink, and Ludwig Landgrebe, most phenomenology in Europe after World War II has a metaphysical emphasis, while the focus in what Husserl published in his lifetime was on *Wissenschaftslehre*, especially in the theory of logic and mathematics, but also in the theories of the naturalistic sciences and even to some extent in the theory of the *Geisteswissenschaften*. Along with the distinctive interests of Realistic, Existential, and Hermeneutical Phenomenology, the many volumes of Husserliana now available may obscure the conscious focus of Husserl's considered opinions for some scholars.

"But Cairns's reflections on psychology will be published soon, Gurwitsch's *Phenomenology and the Theory of Science* is widely known, and Schutz reflected on and/or taught about economics and political science and even linguistics, as well as sociology, in a phenomenological perspective during his twenty some years at the New School. Provided one come to know something about other disciplines, the *"Phenomenology and the Theory of Science"* can be continued further."

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of the world.[2] A careful reading of the work of contemporary philosopher John McDowell can interpret it as a search for the kind of *Wissenschaftslehre*, whose importance the phenomenologists understood well. This search becomes evident in his rehabilitation of common sense, his non-constructivist view of philosophy (which seeks to avoid succumbing to the predicaments in which naturalism leads us), and his direct engagement with assorted scientistically-inclined philosophies. In each of these areas, though, McDowell's philosophical quietism prevents him from arriving at a sufficient understanding of the role of philosophy in relationship to other domains, and I will try to show how the incorporation of insights from Schutz and Husserl could have aided him in arriving at such an understanding.

1   Interiorization and the Rehabilitation of Common Sense

To appreciate McDowell's rehabilitation of common sense, it is necessary to understand Robert Brandom's view on perception – in opposition to which McDowell carries out this rehabilitation. Brandom's basic idea is that perceptual knowledge, that is, the possession of a justified, true perceptual belief, depends upon a philosophical scorekeeper attributing such knowledge to a perceiver. Brandom starts with the possibility that any perceiver could be mistaken about what she perceives, thinking, for example, that she perceives something which is not in fact there. In such cases, a perceiver could have a perceptual belief and feel herself justified in holding her belief, but the scorekeeper, who knows that what she thinks she perceives is not there, would, on that basis, know that her belief is not true. Since the truth of the belief in question is a necessary condition for the attribution of knowledge (along with the perceiver having a belief and being justified in holding it), the scorekeeper would refrain from attributing knowledge to the perceiver. However, besides the truth of the belief being necessary for the attribution of knowledge, that attribution also requires that the belief be justifiable, and the justifiability of a perceptual belief would depend upon the reliability of the perceiver since the perceiver's claim that something is red could be justified if one could establish that that perceiver is a reliable perceiver of colors (and not color blind). One might say that if the perceiver is a reliable perceiver of colors and sees the color red in a certain circumstance, then the perceiver's belief that she is seeing red is justified (but not necessarily true since that would depend on the scorekeeper's more encompassing perspective and final endorsement). For Brandom, then, the reliability of the perceiver has to be established as a premise from which one might determine that her specific perceptual claim (this is red) is justified. However, Brandom opposes Wilfrid Sellars's view that an individual would have to establish for herself her own

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[2]Edmund Husserl, *Einleitung in die Philosophie: Vorlesungen 1922/23*, ed. Berndt Goossens, *Husserliana* (Dordrecht: Kluwer Academic Publishers, 2002), 31, 293–307.

perceptual reliability since there are many cases, as reliabilist epistemologies have shown, in which an external observer can establish the reliability of a perceiver that she cannot establish herself. For instance, in a typical reliabilist scenario, an external observer might know that a chicken-sexer who repeatedly and correctly identifies the sex of chicks is reliable, even though the chicken-sexer might have doubts about his own reliability. Consequently, the scorekeeper can attribute a justification for a belief to someone (e.g. this perceiver is a reliable perceiver) as a step leading toward a final attribution of knowledge, which would also depend on the belief's being true (as the scorekeeper sees it).[3]

In his essay, "Knowledge and the Internal Revisited," McDowell opposes Brandom's account here on many counts. First, he argues that Brandom "interiorizes" the justification that perceivers might believe they have for their beliefs. Such interiorization is evident in a case Brandom presents in which he describes a perceiver who thinks herself justified in seeing a candle ten feet in front of her, but who is unaware of the mirror five feet in front of her, in which the candle is actually being seen, but of which only the scorekeeper is aware. Insofar as the scorekeeper alone seems to have access to what is going on in perception, perceivers themselves would never know for sure whether they perceive accurately what they seem to perceive. As a consequence of this doubtfulness, they would never know whether they would be reliable perceivers in any context, and consequently they would never be able to feel justified in their perceptual beliefs. At best, they might claim to be justified because this is how things *seem* to them, but such a justification would appear to be at one remove from the way world might really be, a justification that is, then, "interiorized" within the perceiver. The end result here is that from the perceiver's perspective all seeing would be reduced to only seeming to see. McDowell rejects the externalism that the scorekeeper perspective introduces and that seems to suck all reliability and justifiability out of the perceiver's viewpoint, as it were. Instead, McDowell upholds the internal perspective of the perceiver by insisting that it is possible for one who holds a claim embedded in the that-clause of an "I see that …" statement to be justified in holding that that claim simply due to the visual availability to her of the embedded fact.[4]

But Brandom's reliance on an assessing scorekeeper and his distrust of the commonsense experience that we as perceivers know our perceptual beliefs to be justified on the basis of what is visually available to us represent an exceptionally skeptical stance toward perceptual experience and betrays an overly theorized approach that draws additional fire from McDowell. For instance, McDowell objects to the idea of Sellars and Brandom that *someone*, oneself or another, must justify the perceiver's reliability as the result of an inferential conclusion. This over-inferentialized

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[3]Robert Brandom, "Knowledge and the Social Articulation of the Space of Reasons," *Philosophy and Phenomenological Research* 55 (1995): 905.

[4]Ibid., 903; John McDowell, "Knowledge and the Internal Revisited," *Philosophy and Phenomenological Research* 64 (2002): 98–99.

approach to the perceptual process overlooks how I recognize my own authority as a reporter of greenness and how I would be at a loss if asked to justify my own reliability, as Wittgenstein recognized:

> My reliability about that kind of thing has for me, rather, a sort of status that Wittgenstein considers in *On Certainty*. It is held firm for me by my whole conception of the world with myself in touch with it, and not as the conclusion of an inference from some of that conception.[5]

Indeed Wittgenstein describes this conception of the world with me in touch with it, as the "system" within which all testing and confirmation or disconfirmation of hypotheses take place, a system which is not a more or less arbitrary or doubtful point of departure, but the locus within which arguments "have their life."[6]

From the perspective of a phenomenologist, Alfred Schutz would seem to concur with Wittgenstein, locating this undoubting point of departure with the everyday natural attitude, whose denizens implement a peculiar *epochē* through which they suspend *doubt* regarding the existence of the outer world and regarding the possibility that objects might be otherwise than they appear. Schutz contrasts this *epoché* with the phenomenological *epoché* that suspends belief in the reality of the world as a method of radicalizing Cartesian philosophical doubt. McDowell's reflections tend then to head toward everyday life experience, from which philosophy takes its start, but in which particular philosophical interests and questions are not operative and into which philosophers ought not to inject their philosophical preoccupations.[7]

Whereas McDowell's seems here to be vindicating commonsense perception and knowledge, one might say that Brandom's scorekeeper, who does not accept at face value any perceiver's claim but who must see for himself and evaluate for validity every proposed perceptual claim, actually exemplifies the adoption of a rigorous philosophical attitude. Brandom, like Descartes in the *Meditations*, does not finally endorse skepticism, but only requires that the scorekeeper/philosopher practice a kind of methodic doubt, scrutinize every claim, and refrain from attributing truth to claim or knowledge to a perceiver when there is reason so to refrain (e.g., awareness of an intervening mirror of which the perceiver-claimant is unaware). Husserl, admiring Descartes's rigor, seems to converge with Brandom's philosophical goals when, in his *Cartesian Meditations*, he demands that the beginning philosopher not accept any judgment that she has not derived from evidence, that is, from experiences in which the affairs in question are present to her as "they themselves."[8] In a sense, McDowell recovers the commonsense experience that for

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[5]McDowell, "Knowledge and the Internal Revisited," 101.

[6]Ludwig Wittgenstein, *On Certainty*, eds. G.E.M. Anscombe and G.H. von Wright, trans. Denis Paul and G.E.M. Anscombe (New York and Evanston: J. & J. Harper Editions, 1969), 16e.

[7]Alfred Schutz, "On Multiple Realities," *The Problem of Social Reality*, Vol. 1 of *Collected Papers*, ed. Maurice Natanson (The Hague: Martinus Nijhoff, 1962), 229.

[8]Edmund Husserl, *Cartesian Meditations: An Introduction to Phenomenology*, trans. Dorion Cairns (The Hague: Martinus Nijhoff, 1960), 13.

both Husserl and Schutz could be located at the level of the life-world, and Brandom's philosophy resembles the kind of refusal to take beliefs for granted that characterizes phenomenological reduction and the entrance in the domain of transcendental consciousness. In other words, the rigor of Brandom's reflective methodology leads to his externalism, which contrasts with the internalism characterizing McDowell's view that seeks to defend the perspective of the commonsense perceiver.

But in upholding the rights of commonsense perceivers and showing that such perceivers know perceptually without waiting upon a theoretical scorekeeper to recognize their cognitive achievement, one might be so taken up with that perceiver's perspective as not to consider carefully the standpoint that McDowell himself occupies in vindicating such perceivers. After all, in this vindication McDowell himself is not functioning not as a commonsense perceiver, but as a philosopher, engaged in a debate with Brandom about how to understand and locate perceptual knowledge. He is attempting to vindicate common sense perceivers, who themselves would probably see no need to vindicate their perceptual knowing against a philosopher like Brandom, whose rigor and fear of the possibilities of being deceived, which skeptics are adept at imagining, might end up interiorizing their justifications for their perceptual beliefs. The commonsense perceiver would have no truck with such philosophical abstractions. Not only does McDowell speak from a philosophical perspective beyond that of the commonsense perceiver, but also, in attributing perceptual knowledge to commonsense perceivers, he undertakes, without admitting it, an attitude analogous to that of Brandom's scorekeeper, exterior to the perspective of the perceiver to whom knowledge is attributed. It is as though scorekeeping describes the philosophical perspective per se, since in trying to determine whether to attribute knowledge or justification, one is inevitably considering the activities of someone else (or oneself as another, as the object of one's higher-level reflection). Of course, McDowell does not embrace the full-blown, rigorous scorekeeper outlook that Brandom does, that includes as a component something akin to Cartesian methodic doubt or the Husserlian "resolve not to accept unquestioningly any pregiven or opinion or tradition"[9] to inquire after what is true. Nevertheless, it must be admitted that it can only be as a philosopher that he advocates on behalf of common sense perception. In fact, McDowell's defense of the commonsense perceiver resembles very much the philosophical position Schutz self-consciously takes up in his *Phenomenology of the Social World* when he recognizes in the famous appended note at the end of Chapter one that he makes only make limited use of the phenomenological reduction. Nevertheless, Schutz is clear that he is still engaging in phenomenology, a phenomenology of the natural attitude, which is at one reflective remove from that

[9]Edmund Husserl, "The Vienna Lecture," in *The Crisis of European Sciences and Transcendental Phenomenology: An Introduction to Phenomenological Philosophy*, trans. David Car (Evanston: Northwester University Press, 1970), 286.

attitude itself, even though it falls short of full transcendental phenomenology, and which instantiates the kind of phenomenological psychology that Husserl spoke of in "Nachwort zu meinen 'Ideen.'"[10]

To be sure, one can understand why McDowell would not be interested in acknowledging that he adopts a kind of scorekeeper attitude since his point is precisely to insist on a kind of knowing – commonsense perception – that does not depend on a scorekeeper's assessment. There is indeed something paradoxical in McDowell's adopting a semi-scorekeeper attitude to escape Brandom's full-blown scorekeeping viewpoint, just as there is something paradoxical about Schutz's use of a semi-phenomenological framework, short of full-blown reduction, to affirm the structures of the natural attitude knower and actor, who really has nothing to do with phenomenology. However, although McDowell refrains from reflecting on his own viewpoint to the extent that Schutz does in his appended note, the fact is that he is assuming a philosophical stance, clarifying the domain of common sense, and implicitly setting forth a minimum *Wissenschaftslehre* that situates commonsense knowing with reference to philosophy.

To the extent that McDowell fails to clarify the philosophical position from which he is engaging in these tasks, he resembles Wittgenstein, on whom he relies heavily in his understanding of common sense. According to Karl-Otto Apel, Wittegenstein, in the *Tractatus*, downplays the philosophical significance of his own work, considering its own statements as nothing more than a ladder to be used to see how statements relate to the world and then to be discarded. Likewise, he refuses to designate the statements in the *Philosophical Investigations* as a kind of theory, but rather envisions them as language-game along side other games. However, in Apel's view, the notion of the language game (including form of life, social relationships, etc.) in general concretizes a kind of transcendental philosophy of the conditions of the possibility and validity of meaning and understanding. Moreover, far from the language game of philosophical argumentation being just one game among others, it rather presents the structural features characterizing all other language games whose claims to validity can be exposed as debatable, redeemed or refuted within it. In Apel's view, both of these works of Wittgentstein provide the conditions of the possibility for their being a world, which can only be given with reference to use of language. It would appear that phenomenology, as the comparison between Schutz and

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[10]Alfred Schutz, *The Phenomenology of the Social World*, trans. George Walsh and Frederick Lehnert (Evanston: Northwestern University Press, 1967), 43–44. One might argue that Brandom too could affirm that his scorekeeper perspective is only involved in recognizing a knowing that is *already there*, as seems to occur in the case of chicken-sexers or shard-recognizers (who can tell whether a Meso-American shard is Aztec or not. These chick-sexers or shard-recognizers may deny that they really know or feel that they are unjustified, but the scorekeeper sees that they really are already knowing. In this sense, Brandom might object to the characterization that perceivers are waiting around for a scorekeeper to attribute knowledge to them. Scorekeeper endorsement is a matter of recognizing a knowing already there, not a matter of constituting it. See Robert Brandom, "Insights and Blindspots of Reliabilism," in *Articulating Reasons: An Introduction to Inferentialism* (Cambridge, Massachusetts: Harvard University Press, 2000), 97–106.

McDowell suggests, has been a bit more rigorous than the Wittgensteinian tradition in self-reflectively admitting and articulating the philosophical perspective and level from which its own claims are being made.[11]

2 McDowell's Non-constructivism

Not only does McDowell seek to uphold common sense against Brandom's over-theorization of perception, but he also seeks to protect common sense against those viewpoints, which heavily influenced by the natural sciences, end up explaining away commonsense experience. McDowell's non-constructivist philosophy is a matter of not attempting to answer the questions of the skeptic that are often informed by such natural scientific presuppositions, but of dismantling the questions themselves. As such, this project involves philosophy establishing clear boundaries between science and common sense and thereby establishing a kind of *Wissenschaftslehre*, however uncomfortable McDowell might feel about such a term, given his preference for a more modest non-constructivism.

To understand his non-constructivism better, it would be helpful to understand how he situates his own philosophy with reference to certain recent philosophical currents. These currents take up their positions around questions regarding human sensation. Naturalist philosophers explain human sensibility in natural scientific terms, as the product of physical processes. Their opponents (e.g., Donald Davidson or Gareth Evans, representatives for McDowell of what he calls coherentism and the defenders of the myth of the given, respectively), however, believe that the reasons that are offered in the space of reasons and that are linked to sensibility (in empirical claims of all sorts) seem sui generis as compared with such physical processes. The question, in other words, is how is it possible that the subject's spontaneous conceptualizing in the space of reasons relates normatively to the world, how is her thinking answerable to experience, when her conceptualizing and experiencing must also be understood as belonging to nature, naturalistically understood as constituted by the causal processes and impacts that determine our experiencing and conceptualizing passively and leave no room for spontaneity or normativity? McDowell praises the non-naturalists for wanting to uphold the idea that the logical space of reasons is sui generis in comparison with the framework of natural scientific understanding, but unfortunately their philosophical anxiety about answering naturalistic skeptics prompts them to launch into elaborate philosophical theories about spontaneous reasoning can be constrained by the world. McDowell, by contrast, tries merely to exorcise the philosophical anxieties by simply undermining the presuppositions that led to the anxieties in the first place. These presuppositions involve permitting nature to

[11]Karl-Otto Apel, *Transformation der Philosophie*, Band 1: *Sprachanalytik, Semiotik, Hermeneutik* (Frankfurt am Main: Suhrkamp, 1973), 347, 356–357, 371; Karl-Otto Apel, *Selected Essays: Toward a Transcendental Semiotics*, ed. Eduardo Mendieta (New Jersey: Humanities Press, 1994), 245.

be reduced to what the natural sciences describe as nature, namely causal-physical processes, with the result that one will never be able to reconcile spontaneous conceptualizing (and ultimately the space of reasons) with sensibility understood as "natural" in this sense. Instead, McDowell opts for a different understanding of nature, that which Aristotle called "second nature," that includes the socially acquired patterns of conceptualizing that collaborate with sensibility in common sense experience of the world. McDowell, then, agrees with what he calls "bald naturalism" that the anxiety-induced obligation to give a theoretical response is an illusion. At the same time, though, by undercutting the view of nature that leads to naturalistic reductionism he undercuts the motivation of these naturalists. Furthermore, he demonstrates how his exorcism of the anxieties (and his refusal to look for a theoretical answer of how the space of reasons can be constrained by the world) is more satisfying that the naturalistic exorcism that simply reduces human activities to mere physical processes and denies that the space of reasons is sui generis.[12]

In addition, McDowell explains that his own non-constructive philosophical approach, which attempts not to answer but to exorcise questions and anxieties, ought to resist follow-up questions in which the recalcitrant opponent might ask him to explain more fully, for example, how it would be possible for a physically/causally constituted perceiver to possess spontaneous conceptual capacities. Such a "how possible" question is asked usually against a naturalistic background (that would make spontaneous capacities ultimately impossible), such that if one examines the background of the question one would eventually come to see the impossibility of ever answering it. Hence, to try to answer such a question indicates either

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[12]McDowell, *Mind and World* (Cambridge and London: Harvard University Press, 1996), xxii–xxiii; John McDowell, "Reply to Commentators: to Richard Rorty,"*Philosophy and Phenomenological Research* 58 (1998): 421. Bald naturalism, for McDowell, simply refuses to feel the problems, then, that Davidson and Evans feel insofar as they seek to hang on to a notion of rationality that is appropriately conceived in Kantian terms but that is difficult to reconcile with the scientific naturalism that bald naturalists think explains the space of reasons. Just as bald naturalists opt out of this whole area with which Davidson and Evans grapple, so Richard Rorty opts out insofar as he regards the whole question regarding how minds contrive to be in touch with reality as illusory. Like the bald naturalists, Rorty too grants no force to the distinctive intuition that the idea of objective purport belongs in the sui generis space of reasons. Consequently, he believes that Tarskian equivalences, such as "Snow is white" if and only if snow is white, function merely descriptively and that they have nothing to do with the normative links that require that what we say ought to conform with the way the world is and that are constitutive of any idea of objective purport. Because he "plugs his ears" when it comes to the such problems as how mind relates to world, it remains impossible for him to appreciate how McDowell upholds the sui generis space of reasons (the insight) but bypasses the problem of how this space of reasons relates to nature as bald naturalism conceives it. Furthermore, equipped with an understanding of the role of second nature concepts actualized in receptivity, one can defend the idea of intelligible empirical content that becomes impossible under all the other ways of conceiving mind's relationship to nature. Although McDowell comes to the same conclusion as Rorty and bald naturalism concerning the illusoriness of the problems, he also recognizes the insight that the space of reasons is sui generis, as they fail to do. See McDowell, *Mind and World*, 67, 72, 85, 108, 147, 151, 154; McDowell, "Reply to Commentators: to Richard Rorty," 420–421.

that one does not understand the underlying predicament motivating the question, or, in other words, does not see that if that naturalistic frame of mind is left in place, one will be unable to answer the question. Rather than answer the question, one ought to dislodge the framework, showing thereby that question of "how possible?" no longer has its bite. One dissolves the problem by refusing to conceive the perceiver (and particularly her sensibility) as "natural" in the sense of belonging to the (natural scientific) realm of law (an impossibility), but rather as "natural" in the sense of second of nature. McDowell asserts, though, that exorcising such questions is hard work, "constructive philosophy in another sense."[13]

This non-constructive querying the framework within which questions are posed characterizes McDowell's handling of other problems, a clear example of which is to be found in his essay "Criteria, Defeasibility, and Knowledge." The "criterial" position that McDowell opposes argues that knowing another's inner states results when the other meets certain defeasible criteria based on observable bodily behaviors that permit one to claim to know what those inner states are. As a good skeptic might point out, however, it is always possible, given the defeasibility, that the person known may not be in that inner state despite the fact that the criteria were met. Some have offered what they take to be a Wittgenstein response to such a skeptical challenge to the criterial stance by suggesting that that one might bridge the gap between inner states and bodily behaviors insofar as bodily behaviors are *conventionally* linked to the presence of inner states. McDowell, however, objects forcefully to such an effort to uphold the criterial stance and to the characterization of such a defense as Wittgensteinian. Wittgenstein never would have tried to answer the skeptic's challenge to the criterial viewpoint through the idea of such a conventional linkage, since his tendency would have been, instead, to place in question the underlying suppositions of the criterial account that allow the skeptic to exploit its weaknesses in the first place. Specifically, the criterial position displaces "the concept of human being from its focal position in an account of our experience of our fellows,"[14] and replaces it with the philosophically restricted concept of a human being taken for an unexpressive, mere material object from whose movements we are somehow or other to infer its inner states. The way to handle this skeptical critique of the criterial position is not to answer the skeptical question that exploits

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[13]McDowell, *Mind and World*, xxiv, see also xiii, xxi, xxiii, 77–78. In an interview with Jakob Lindgaard, McDowell claims that disagreement over whether philosophy ought to be constructive or not basically differentiates him from Brandom: I do not think that the chief difference between us consists in the fact that Brandom is a pragmatist. It consists much more in the fact that Brandom does not agree with the Wittgensteinian thought that the work of the philosopher lies in speaking out what is obvious, in calling humanity back from a kind of spiritual sickness in which they take seriously certain merely illusory problems and calling them to a kind of spiritual health. Brandom's attitude is, on the contrary, that the problems are good problems, and that the work of the philosopher consists in resolving *well-placed* kinds of puzzles, instead of trying to unmask this kind of puzzle or mystery as grounding itself in a previous mistake. See John McDowell, "Erfahrung und Natur," An Interview of John McDowell by Jakob Lindgaard, *Deutsche Zeitschrift fur Philosophie* 53 (2005): 803. My translation.

[14]McDowell, *Meaning, Knowledge, and Reality*, 384.

the framework of the position, but to exorcise the question by disputing its very framework:

> In these terms, Wittgenstein's response to the skeptic is to restore the concept of a human being to its proper place, not as something laboriously reconstituted, out of the fragments to which the skeptic reduces it, by a subtle epistemological and metaphysical construction, but as a seamless whole of whose unity we ought not to have allowed ourselves to lose sight in the first place.[15]

At the conclusion of the essay, McDowell diagnoses the formulation of the problem as itself the result of extending an objectifying view of reality to human beings, which views human behavior as no more expressing inner states than the behavior of planets would, with the result that mental states end up being withdrawn inward, located "in the head" only. The culprit responsible for this objectifying is the same culprit that cut sensibility off from spontaneity in the previous example, namely the rise of modern science, whose view of nature ruled out the possibility that spontaneous conceptual capacities could cooperate with sensibility understood in physicalist terms and whose influence is responsible for reducing the body to a non-expressive physical machine.[16]

This discussion on knowledge of other minds clearly reveals the motives for McDowell's preference for a non-constructivist philosophy. By taking the terms in which philosophical problems have been posed for granted and setting about to answer them, one overlooks how the underlying philosophical-theoretical frameworks and often the natural scientific point of view underlying those frameworks provide us with a distorted picture of what goes on in everyday life (e.g., that sensing involves meaningless causal impacts or that we grasp unexpressive bodies first and infer their inner states) with the result that what we do easily and effortlessly in everyday life (grasp intelligible empirical content or understand others) becomes impossible when viewed through the lens of theoretical philosophy. In a more generalized sense, one might say that what McDowell advocates for here is a rather extensive de-theoretization of philosophy that, in effect, returns, as Husserl expressed it, to our experience of the things themselves. Regarding these things themselves, Husserl – and McDowell would concur – recommends "to consult them in their self-givenness and to set aside all prejudices alien to them."[17]

It is this effort to get at what is given *originaliter* and to allow no authority to block one's right to accept all kinds of intuition as validating sources of cognition, not even the authority of modern natural science, that eventually leads Husserl to explore the life-world. That life-world furnishes the origins from which natural science abstracts, and, forgetful of its own origins, scientifically guided philosophy often ends up substituting its constructions for everyday life experience, reducing

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[15]Ibid., 384.

[16]Ibid., 370–373, 383, 384, 393.

[17]Edmund Husserl, *Ideas Pertaining to a Pure Phenomenology and to Phenomenological Philosophy*, Book One: *General Introduction to a Pure Phenomenology*, trans. F. Kersten (The Hague: Martinus Nijhoff, 1980), 35.

subjective experience, for example, to mere causal effects or forgetting, as Schutz suggests, that we experience others first as our fellow human beings and not as organisms and their overt behavior as human action rather than occurrences in outer-world space-time. In starting with commonsense Aristotelian second nature instead of the pared-down nature of the natural sciences or in refusing that a perceiver needs to prove her reliability, which pertains instead to her already being in touch with the world, McDowell seems to be following a distinct trajectory. He moves toward the common sense, which "questionable philosophy"[18] puts at risk, and toward everyday life experience beneath the level of theories that overlay it with their philosophical constructions. It is highly plausible that one could describe McDowell's work, in Husserlian terms, as an effort to vindicate the life-world against it theoretical obfuscators.[19]

But one might object that even though McDowell seeks to exorcise rather than answer questions and thereby to avoid constructivist philosophy, still it would seem that he himself is making philosophical claims about how we encounter the world or how we understand others, and would not such claims seem to involve something like a constructive philosophy? He himself addresses just this charge when he resolves a dispute over meaning between those who seek to explaining meaning as the result of the natural realm law (for example, as being a response to stimuli) and those who espouse independent, normative meanings. The naturalists accuse the non-naturalists as espousing a kind of rampant Platonism since their meanings seem to exist in a Platonic heaven detached from (naturalized) earth. Once again the naturalizing culprit seems to leave us with only two options (naturalized meaning or rampant Platonism), but McDowell questions the framework of the question itself. Accepting that meanings are "natural" insofar as they pertain to second nature, that is, the heritage of common sense and not natural in the sense of being reducible to physical/causal effects (with reference to which any other view of meaning will turn out "Platonic"), McDowell dubs his position a "naturalized Platonism." But what is important for our purposes is what he says subsequently when he claims that this "naturalized Platonism" is not a label for constructive philosophy, but a "'reminder,' an attempt to recall our thinking from running in grooves that make it look as if we need reconstructive philosophy."[20] Here it is as if he advises his reader not to attend to the fact that he is positively making claims about meaning and second nature but rather to keep focused on the dangers of succumbing to the presuppositions upon which the articulation of the problem depended. If meaning is scientifically naturalized, then the option is either to accept

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[18]McDowell, "Knowledge and the Internal Revisited," 98.

[19]Husserl, *Ideas I*, 38–39; Husserl, *The Crisis of European Sciences and Transcendental Phenomenology*, trans. David Carr (Evanston: Northwestern University Press, 1970), 48–50, 54, 56, 116, 214, 229; Husserl, "The Vienna Lecture," 295; Alfred Schutz, "*Concept* and Theory-Formation in the Social Sciences," *The Problem of Social Reality*, Vol. 1: *Collected Papers* (The Hague: Martinus Nijhoff, 1962), 55–56.

[20]McDowell, *Mind and World*, 95.

such naturalization or develop a theory of meaning that looks like rampant Platonism. The way out is not to fall for the manner in which the problem is formulated and to avoid the presuppositions that his "hard work,"[21] for instance, on the similar problem concerning sensibility and the space of spontaneous reasons, had already gotten us out from under.

McDowell is even clearer about the role of philosophical non-constructivism, or quietism, as he calls it, in avoiding the danger of succumbing to the presuppositions one has already or should have overcome, as this rather lengthy quotation suggests:

> When I describe the relaxed Platonism made possible by a naturalism of second nature, I say things like this: the structure of the space of reasons is not constituted in splendid isolation from anything merely human. Wittgenstein's "quietism," properly understood, is a good context in which to stress that remarks like that should not invite the question, "So what does constitute the structure of the space of reasons?" If we take ourselves to be addressing that question, my invocation of second nature, sketchy and unsystematic as it is, will seem at best a promissory note toward a proper response. But that would miss my point. I think the response we should aim at being entitled to, if someone raises a question like "What constitutes the structure of the space of reasons?", is something like a shrug of the shoulders. It is a thought well expressed by Rorty that questions like that should not be taken to be in order without further ado, just because it is standard for them to be asked in philosophy, as we have been educated into it. Their sheer traditional status cannot by itself oblige us to take such questions seriously. Rather, there is an assumed background that is supposed to make them urgent. When I invoke second nature, that is meant to dislodge the background that makes such questions look pressing, the dualism of reason and nature. It is not meant to be a move – which could be at best a first move – in constructing a response to that question.[22]

This quotation expresses once again McDowell's suspicion of leaping back into a discussion whose underlying premises might be the very ones he has just overcome, and the immediate and perhaps contentiously phrased "So what does constitute …?" seems to suggest that the questioner rushes to question without having quite fathomed how McDowell has already liberated the discussion from presuppositions to which the questioner may still be captive. Indeed, what McDowell seems to claim is that his invocation of second nature, sketchy at it is, must be appreciated in its own right, not as an answer to a question whose background ought to have been questioned, but as a new way of seeing things so that the question itself becomes unnecessary. The reason for greeting the new question with a shrug has to do with being critical about what the new question presupposes, even though philosophers have been inclined by the philosophical tradition to ask such questions.[23]

However, let us suppose that one were cognizant of the limits of what McDowell set out to achieve in a philosophical discussion intended and achieved on some topic (to conceive meaning as a matter of naturalized Platonism but not to explain what

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[21]Ibid., xxiv.

[22]Ibid., 178.

[23]Here McDowell, the traditionalist, shows himself wary of "letting one's thinking be shaped by an uncritically inherited tradition" – something, paradoxically, required by the tradition of philosophy itself, namely that it be critical even of its own traditions. See John McDowell, "Self-Determining Subjectivity and External Constraint," *Internationales Jahrbuch des deutschen Idealismus/International Journal of German Idealism* 3 (2005): 33, see also 35–36.

constitutes the space of reasons). Let us further suppose that one is aware of the naturalistic framework suppositions that he rightly criticizes throughout *Mind and World* and that one is sufficiently apprehensive of their of their covert return in new discussions. Would it not still be possible for one to embark upon a fuller investigation of what constitutes the space of reasons or what meaning understood in terms of naturalized Platonism consists in? McDowell, in the above quotation, does not necessarily rule out such a possibility insofar as he recognizes that what he has done might be at best a first move in some other project. One has the impression that giving a further constructive account of the concepts he has used to describe the experiences of knowing the world or understanding others might not be part of the kind of constructive philosophy he disdains insofar as such an account might have freed itself from mistaken presuppositions. In fact, one could wonder whether McDowell himself would be consistent if he, on the one hand, as he does, shows himself critical and intent on not taking for granted the mistaken suppositions of the problems presented to him, and, on the other, willing to accept without further examination the concepts providing an alternative way of seeing things, almost as if such concepts were a dogmatic given, in need of no further conceptual articulation.

Perhaps one might think that once McDowell has given his self-admittedly sketchy accounts of meaning or understanding others, no further articulation is necessary since his explanations recover, as we suggested above, the life-world that is obvious to us all. Of course, getting back to that life-world so easily covered over by constructive philosophy required a kind of reflective rigor much at odds with the intellectual complacency typical of everyday life. McDowell's affirmation of the role of common sense, like his defense of the everyday perceiver-knower who does not depend on an external scorekeeper to know, is itself developed from within a philosophical standpoint at one reflective remove from common sense. In a similar fashion, Husserl's thinking back from the natural sciences to recover the intuitively given surrounding world that science forgets represents a sophisticated philosophical achievement. To conclude, then, that this everyday life world, itself rediscovered after rigorous philosophical effort, would now require no further philosophical examination is to succumb to a paradoxical reflective inertia. It is to take for granted the realm of common sense, which, as Maurice Natanson has shown, is itself characterized by a tendency to protect itself against reflection.

> The make of common-sense life, the very essence of its style of being, is its failure to make itself an object for its own inspection. Common-sense life does not reflect upon common-sense life; at best it makes some particular event within the stream of daily life a topic for analysis and reflective scrutiny. That common-sense life has a style, has an essential structure, is an insight that necessarily transcends the understanding of common-sense men.[24]

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[24]Maurice Natanson, "Existential Categories in Contemporary Literature," *Literature, Philosophy, and the Social Sciences*, 120; for more on common sense see Maurice Natanson, "Phenomenology and the Theory of Literature," *Literature, Philosophy, and the Social Sciences*, 94, 96; Maurice Natanson, "Existentialism and the Theory of Literature," *Literature, Philosophy, and the Social Sciences*, 104. On causation, see Maurice Natanson, "Causation as a Structure of the Lebenswelt," *Literature, Philosophy, and the Social Sciences*, 198–200, 207, 210; also Natanson, *The Erotic Bird*, 128–129.

A further argument as to why a properly conducted philosophy ought to articulate philosophically the dimensions of the common sense experience that naturalistically-based theories occlude from sight, is that McDowell himself is *already* engaged in such elaboration himself or that he relies upon it. For instance, he offers abbreviated descriptions of: second nature, our initiation into ethical thinking, and the exercise of conceptual capacities that Aristotle first explained in a more thorough fashion; our animal character that is necessary for any adequate philosophical anthropology, as Aristotle explained in greater depth; the rationality that permeates our natural, animal being and that Kant appropriately conceived; and the basic differences between human beings who relate to a world and animals which relate to an environment, which Gadamer clarified. Not only does McDowell provide his own descriptions that go beyond merely mentioning these concepts and that are philosophical in character, but he draws on these other philosophers whose have extensively developed these concepts in works such as the *Nichomachean Ethics* and *Truth and Method*. For instance, the Gadamerian distinction between the animal mode of life in an environ-ment and the human mode in the world depends on distinctions and vocabulary already developed by Max Scheler, who undertakes the method of phenomenological reduction in order to determine and justify, beyond "ordinary language"[25] and the definitions of natural science, in what "the essential nature of man"[26] consists. Hence, were one to think that McDowell's sketchy and unsystematic accounts suffice and that anything further would be a matter of pernicious constructive philosophy, one would be ignoring the complex philosophical sources on which he draws.[27]

McDowell's view of his own non-constructivism actually represents something of a *Wissenschaftslehre* insofar as clearly is aware of the way in which natural-scientific explanations make incursions, as it were, on common sense and produce philosophi-cal problems that make common sense seem incapable of what it was able to achieve prior to the incursions. The problem is to rein in natural science and to recover those achievements, such as the cooperation between sensibility and spontaneity or the

[25]Max Scheler, *Man's Place in Nature*, trans. Hans Meyerhoff (Boston: Beacon Press, 1961), 7.

[26]Ibid.

[27]McDowell rightly refuses to answer the skeptic's question as to how one knows that one is *really* seeing the world since the question hooks one into the mistaken premises of the argument from illusion. That argument claims that all that we reach is a "highest common factor," shared by authentic perception and illusion, and thereby denies our openness to the world. By contrast McDowell insists that the sheer intelligibility of openness to the world allows one to ignore (rather than answer) the skeptic's questions. But it would still be possible to give a philosophical account of such openness. Indeed, Husserlian accounts of intentionality have done just that and discussed the kind of evidence one has in experiencing one's own intentionality. See McDowell, *Mind and World*, 82,84, 85, 112–113, 115–119; see for example Husserl, *Cartesian Meditations*, 33, 34, 57, on how we reflectively experience our experiencing of the world and how such intentional acts's being self-exhibited or self-giving constitutes the evidential having of them, which each philoso-pher must affirm for him- or herself whether there are such evidential havings. See also Hans-Georg Gadamer, *Truth and Method*, rev. trans. by Joel Weinsheimer and Donald Marschall (New York: Crossroad, 1992), 443–445; Scheler, *Man's Place in Nature*, 35–40, 51–55.

understanding of others, as they are experienced before the incursions. In other words, McDowell seems intent on rehabilitating common sense and establishing its autonomy in relation to the natural sciences.

It is perfectly legitimate for him to recognize the limits of what he is doing, to admit that his own account of second nature is sketchy, unsystematic, and perhaps promissory in character and to shrug off, for the time being, future questions, to which his treatment of second nature and other concepts was not meant to be a first move in answering. Nevertheless, he does seem to admit that his treatment *could be* a first move in such a separate philosophical project. However, it seems to me that insofar as McDowell has exercised an admirable philosophical responsibility in not buying into the unexamined presuppositions underlying the framing of questions, so also he ought to admit the importance of going bit further, that is, he ought to admit the obligation of philosophical responsibility not to rest content with a set of sketchy, unsystematic, or undeveloped conceptualizations of the everyday experience he has rescued from natural scientific distortions. Indeed, his very mention of many of the conceptualizations he employs draws on the sophisticated philosophical analyses of forbearers such as Scheler, Gadamer, Aristotle, and Kant. Perhaps he might have acknowledged more clearly his philosophical responsibilities in this regard if he were clearer about the fact that in asserting the rights of common sense against the scientifically-based accounts that undermine it, he himself speaks from a philosophical standpoint that is itself beyond common sense, as Natanson's comments suggest. As in his criticism of Brandom's insistence on the need for a scorekeeper he implicitly occupied a philosophical scorekeeping stance to attribute perceptual knowledge to the everyday perceiver who knows without a scorekeeper, so here too he is not particularly clear about the philosophical perspective he himself occupies. Taking a hint from Apel's critique of Wittgenstein, we might say that McDowell's own view of his own philosophy is more minimalist than it in fact is, given its use of other philosophers' elaborations, or than it ought to be, given its opposition to taking presuppositions for granted.

3 McDowell on Natural Science and Natural-Scientific Philosophy

In the first two sections of this paper, we have seen McDowell distinguishing the perspective of the common sense perceiver from Brandom's overly theorized account of perception and pointing to ways in which philosophical accounts of sensation, intersubjective understanding, and meaning that are too much under the sway of the natural sciences generate philosophical problems whose framework needs to be questioned as part of a recovery of sane common sense. Of course, the quintessential example of McDowell's diagnosis of a pathology in need of therapy appears in *Mind and World* in which McDowell, in the first three chapters, opposes the oscillation in recent philosophy between the Myth of the Given and coherentism, because receptivity is taken to occur without spontaneity in the first case and

spontaneity without receptivity in the second. As we have seen above, this problem itself can be traced back to a natural scientific approach to sensibility that makes it incompatible with conceptual spontaneity. In addition, the dominance of this natural scientific outlook has produced a "deep-rooted mental block,"[28] hiding from view any alternative, such as that afforded by Aristotelian view of (second) nature in accord with which sensibility ought to be considered (as opposed to natural scientific first nature). Philosophy, captive of natural science, excludes philosophical options that would put an end to the fruitless oscillation between the emphases on spontaneity and receptivity that have characterized recent philosophical trends.

Not only are we blinded to options, but scientific-naturalistically oriented philosophy obscures life-world experiences, as we have already seen in the way the understanding of others is made nearly impossible once one assumes that another's unexpressive body is given first and one must resort to criterial accounts to attribute inner states to them. McDowell also shows how the scientific perspective underlies the view of Hilary Putnam, who, though he asserts that "'meanings just ain't in the *head*!"[29] and though he opposes scientism's influence on philosophical understandings of the mental, nevertheless, never challenges the scientistic view that the mind is a kind of organ. Similarly, he views mental representings as symbols, which might be taken to be directed to the object they represent, but he fails to consider such representings as intrinsically endowed with a representational aboutness directed to what they are about. McDowell objects that Putnam's phenomenological grasp of the way we represent the world is not an "unprejudiced introspective report"[30] but is "theory-driven,"[31] not reporting on what is found in the stream of consciousness, but what he takes must be there. He speculates that Putnam's mode of portraying representings, as isolated inner occurrings, makes it easier to map them on to the underlying physiological, causal process that evoke them. Here McDowell shows how philosophy under scientistic sway obscures what is phenomenologically given, and his analysis reveals why Husserl insisted on the phenomenological reduction as means of returning to the things themselves beneath their theoretical accretions.[32]

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[28]McDowell, *Mind and World*, 69, see also 70–72.

[29]Hilary Putnam, *Mind, Language, and Reality* (Cambridge: Cambridge University Press, 1975), 227; John McDowell, *Meaning, Knowledge, and Reality* (Cambridge and London: Harvard University Press, 1998), 276.

[30]McDowell, *Meaning, Knowledge, and Reality*, 287.

[31]Ibid.

[32]Ibid., 285, 287, 290. A similar example of an apriori scientific-theoretic ruling out of experiential data that contradicts what theory tells us has to do with Simon Blackburn's projectivist view that the world itself is devoid of value and that any one who claims to find objectively comic situations is involved in projecting subjective feeling onto it. McDowell writes: "But how good are the credentials of a 'metaphysical understanding' that blankly excludes values and instances of the comic from the world in advance of any philosophical enquiry into truth? Surely if the history of philosophical reflection on the correspondence theory of truth has taught us anything, it is that there is ground for suspicion of the idea that we have some way of telling what can count as a fact, prior to and independent of asking what forms of words might count as expressing truths, so that a conception of facts could exert some leverage in the investigation of truth." Ibid., 164.

Natural-scientifically oriented philosophical theories also effectively deny their life world origin. McDowell illustrates this in criticisms of the treatments of secondary qualities by Bernard Williams and J.L. Mackie. For instance, if Williams is correct in denying that colors are properties things have, McDowell argues that "we would no longer understand what we were supposed to be explaining."[33] He also objects to Mackie's contradictory explanation of secondary qualities that requires that we should form the notion of a feature of objects that resembles secondary qualities but that is adequately conceivable otherwise than in terms of how the possessors of that feature would look. What McDowell sees here is that we must begin with our everyday experience of secondary qualities from which science takes its start and that we must continue to make use of our experience of them to describe whatever processes we think explains them. Scientistic-leaning philosophies may explain secondary qualities away, but such explanations in the end seem to be left hanging in the air, having eliminated what they set out to elucidate. These philosophical views, which McDowell accuses of casting "a gratuitous slur on perceptual 'common sense,'"[34] ought to recognize that secondary qualities, which are not exclusively phenomenal, can only be given with reference to our sensibility and that nevertheless they are independent of any of our particular experiences of them. Instead of espousing the view that the scientific image of reality tells us what really exists and everything else is projective error of the manifest image onto it, McDowell, like Husserl, effects a kind of reversal, starting with everyday life experience, pertaining essentially to subjectivity, and envisioning natural science as taking up its explanatory role within its context.[35]

Philosophies that depend uncritically on natural scientific presuppositions exclude alternative views (e.g. of nature), end up denying life-world experience (e.g., representational intentionality), and explain away the life-world that is their origin (e.g., secondary qualities). McDowell's strategy, in each of these cases, is to posit a basis of human experience at something of a life-worldly level that theoretical perspectives ignore or suppress. In each case, it would seem that theoretical philosophy is at fault and that the best approach is to avoid the terms in which it frames philosophical questions and to return to sane common sense – as a philosophical quietism might insist. My concern, though, is that the final unintentional result of this strategy may be to pitch philosophy against natural science as its "enemy." I say "unintentional" because at various junctures McDowell bears witness personally to his own admiration for the natural sciences, forbidding us from trying to return to Aristotle's innocence or to discard science's intellectual inheritance that has raised us above medieval superstition. However, avoiding a polarization between common sense and science depends not only on personal good will, but also on the development of a methodological approach that recognizes the continuities

[33]John McDowell, *Mind, Value, and Reality* (Cambridge and London: Harvard University Press, 1998), 123.

[34]Ibid., 136.

[35]Ibid., 123–124, 133, 135-136, 140–142, 146.

between science and common sense. This methodology would depend on becoming self-reflective on the fact that the positing of common sense or the everyday life-world at the basis of science is achieved by a philosophical stance that is itself neither common sense, as Natanson suggested, nor science, but that situates them both in relationship to each other on a continuum – in other words, that presents a rudimentary *Wissenschaftslehre*. What this methodology might consist in and how it might show the continuity between common sense and science will become more evident when we consider two other places where McDowell circumscribes the role of science, but differently from the ways that we have seen up to now in which he asserts the rights of the life-world experiences that lie at the basis of the philosophical theories, even those that repress such experiences.[36]

One place where McDowell limits the role of science in philosophy takes place in a discussion of a position adopted by Bernard Williams, who, following Peirce, envisions science as an intrinsically non-distorting method that provides a pure or transparent access to reality, an Archimedean point yielding the world in itself to which other particular representations of the world might be compared. McDowell criticizes Williams' absolute conception of reality insofar as it cannot explain away the phenomenal perspectives of subjective consciousness and insofar as it must make use of the historically situated concepts of the natural sciences. The use of such concepts undermines the idea of an impersonal, a-historical Archimedean point, but it need not imply that it is impossible to establish objective truths from within such a scientific framework or that natural science is no better at establishing truths about reality than, say, an animistic worldview. McDowell concludes:

> In short: the idea of the Archimedean point, in its Peircean version, appears to constitute a metaphysical underpinning for the tendency of science to arrogate to itself final authority over the use of the notion of the world (which is a metaphysical notion, not *ex officio* a scientific one); without the idea of the Archimedean point, that tendency stands revealed as nothing but a familiar scientism – which can we can recognize as such without that relativistic disrespect for science itself that Williams rightly deplores.[37]

McDowell is just right in recognizing how Williams's claim to an Archimedean perspective for science involves not a scientific claim but a metaphysical one, and in this his claim parallels Husserl's insight, "it is not always natural science that speaks when natural scientists are speaking."[38] In typical quietist style, McDowell's comments are critical of natural science overstepping its limits and rightly so, however there is little reflection on the perspective from which the statements in the above citation are made. For instance, presumably if science is not entitled to assume final authority over the use of the notion of world because it is a metaphysical notion, then metaphysics *is* able to arrogate such final authority to itself. That is, the above statements are undertaken from a philosophical perspective, which like science relies on historically situated categories and makes claims that are able

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[36]McDowell, *Mind and World*, 71, 109; McDowell, *Mind, Value, and Reality*, 181–182.

[37]McDowell, *Mind, Value, and Reality*, 129, see also 119, 122–128.

[38]Husserl, *Ideas 1*: 39.

nevertheless to be objectively assessed for their validity, but which, unlike science, seems able to assume not an a-historical Archimedean point, but a perspective beyond the scientific framework. From this perspective, it is able to identify the limited context within which scientific activity is carried on and scientific objectivity is legitimately established, and it possesses the jurisdiction to determine when science has exceeded its boundaries and ventured illicitly into philosophical waters. Philosophy here assumes a reflective meta-perspective with relation to science in much the same way that we saw earlier McDowell's philosophy taking up an attitude beyond commonsense experience, and for that matter beyond the philosophical theories that suppress it, and then placing common sense experience at the basis of philosophical theory whose divagations can be avoided by paying attention to it. Here I am simply reflecting on and making explicit what McDowell himself is doing in his correct opposition to Williams's "absolute conception of reality."

Quietism might appear to be anti-scientific in that it stands critically over against scientism's overreaching itself, unmasking its pretensions. But, if that is so, then allowing philosophy to "arrogate" to itself final authority over the notion of world, as I am suggesting, would, it would seem, only accentuate further such divisions between the natural sciences and philosophy. However, I would like to suggest that such honest philosophical self-reflections on philosophy's own role, that is, honest acknowledgements of what philosophy itself is up to, put philosophy, in a way, on all fours with the natural sciences. After all, philosophy's critique of scientism, which might be described in this case as a philosophical perspective like Williams's that is so under the sway of the natural sciences as to overstep its boundaries, is that it is not self-reflective on its own moves. But, for a philosophical stance such as McDowell's to chide scientism in this regard, without self-reflection on itself, without as honestly as possible admitting what it itself is engaged in, is to establish a kind of asymmetry between itself and scientism. It would be as if this non-scientistic philosophy were to claim that the scientistic outlook needs be self-reflective, but that it is enough for this philosophy to be simply critical of scientism without being reflective on itself.

Restablishing symmetrical demands for self-reflectivity in this way reveals continuity between science and philosophy, though it is questionable whether the arbitrative role philosophy seems destined to assume, as McDowell's and my analyses suggest, could ever escape being perceived as "anti-science," especially by those who are scientistically inclined. But merely demarcating boundaries on the basis of self-reflection on what scientism and philosophy in critical response to scientism are *already doing*, as I have done here, need not imply a particularly anti-scientific bias. McDowell's critical view, which merely marks out the limits of a scientifically-based philosophy, need not imply antagonism to science either. My point is rather that without sufficient self-reflection on itself, McDowell's philosophical perspective is more likely to have the unintended result of appearing to make asymmetrical demands upon scientifically-based views and so to be at enmity with science. The argument here is that showing the continuities between philosophy and science can help dispel the appearance of enmity.

To appreciate a further way in which a less quietistic approach might reconcile science and philosophy, let me consider one last way in which McDowell

circumscribes the role of science. Simon Blackburn defends the idea that ethical values are merely projected upon a world that is evacuated of values as opposed to a view that claims to cite truths about values on the basis of mysterious quasi-sensory capacities to intuit values. In response, McDowell begins by insisting that one must give an account of how ethical "verdicts and judgments are located in the appropriate region of the space of reasons."[39] McDowell recognizes that ethics constitutes a distinctive domain of rational requirements the criticism of which can only be undertaken from within the specific ethical outlook in which one has been brought up. The virtues with which one has been raised produce a reliable sensitivity to certain sorts of requirements that situations impose and that are open to discussion insofar as one might try to help an interlocutor see certain saliences that imply requirements through "Don't you see" efforts at persuasion. Contrary to Blackburn, ethics does not consist in a projection on a valueless world, but in a subjective discernment of the responses that objective value-laden features require. Whatever one may make of McDowell's arguments about how practical rationality functions, he here demarcates a certain "region" of the space of reasons in which certain types of reasons are appropriate and to which other types are irrelevant (e.g. scientific ones or, in McDowell's more minimal view of practical rationality, those that might seek to establish universal principles binding on all persons). Although McDowell does not make it explicit, clearly it is from a philosophical perspective that this region is set off from others that require correlative types of rationality, even as it was philosophy that demarcated common sense from philosophical theory or that situated the natural sciences in relationship to common sense and itself. Philosophy then constitutes a kind of meta-perspective locating various regions, what Husserl called "regional ontologies," with their distinctive modes of living and reasoning and objects of investigation, in relationship to each other.[40]

But how does this recognition that there are various ontological regions of being reveal the continuities between science and philosophy? Husserl, whose *Crisis of the European Sciences* most explicitly distinguishes the everyday life-world from the realms of science and philosophy, also and paradoxically, recognized the linkage between them. For Husserl, each of these domains represents a certain "attitude" – that is, a mode of being, living, thinking, and acting, with accompanying forms of knowing and standards of evidence – toward the world and experience that a subject might take up.

> It is precisely the result of inquiry with the epoché – a strange but self-evident result, which can be ultimately clarified only through our present reflection – that the natural, objective world-life is only a particular mode of the transcendental life which forever constitutes the world [but] in such a way that transcendental subjectivity, while living on in this mode, has not yet become conscious of the constituting horizons …[41]

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[39]McDowell, *Mind, Value, and Reality*, 163.

[40]Ibid., 51, 65, 70–71, 163; McDowell, *Mind and World*, 80-82; Husserl, *Cartesian Meditations*, 62–64.

[41]Husserl, *The Crisis of European Sciences and Transcendental Phenomenology*, 175.

It is the same subject that takes up different approaches to experience when it lives head-on in everyday life understanding others and perceiving sensible content (without being aware of the problems philosophy believes to be bound up with such activities), when it reflects philosophically on (and sometimes distorts or corrects distortions of) everyday life, when it adopts the attitude of the natural sciences and explains everyday experiences of secondary qualities, and when it intuits the ethical responses appropriate to situations and undertakes the style of reflection on those intuitions that is distinctive of ethics. In the end, the one final deployment of subjective life is that of philosophy, the particular attitude at work in the reflections in this paper, the deployment of subjective life that becomes reflectively conscious of the subject's life itself, which lives anonymously, present but unreflected upon, within these other deployments. Science, then, is not just an activity whose influence on an uncritical philosophy might make possible an overweening scientism that might end up denying or distorting common sense experience – although that possibility is there. But it is also one possible stance toward experience in relation to others that subjectivity can undertake. Furthermore, this positioning of science on a continuum with other possible deployments, such as that of common sense, ethics, or philosophy, is revealed by the self-reflective transcendental phenomenology being recommended here. The same transcendental subject operative in different ways within science and commonsense is also at work in philosophy, in which it makes itself explicit, and a philosophical quietism that tends to deemphasize its own philosophical accomplishment is more likely to overlook the connections that transcendental phenomenology can establish.

McDowell verges on the recognition of these possibilities for transcendental subjectivity when he contrasts the kinds of intelligibility characterizing the logical space of reasons and the logical realm of law (natural science), but his focus is on the kind of intelligibility "we find in something when we place it in relation to other occupants"[42] of these different logical spaces. Hence, the human being in the space of reasons appears free and spontaneous and in the realm of law causally determined, and it could be said that the within second nature, the human being appears in a different way, one more compatible with the space of reasons. McDowell's interest, though, is how an object (or including the human subject taken as an object) would appear in these realms, as opposed to the underlying subjective attitudes in the light of which whatever is correlative to such attitudes appears the way it does. Again, a self-reflective turn toward the subjective activities through which objects are given, typical of phenomenological reflection, leading back ultimately to the subjective attitude through which one becomes aware of subjective attitudes in general, would reveal a continuity between different ontological regions, as domains within which a single subjectivity assumes its different attitudes, domains whose differences and autonomy need to be preserved and protected.

This essay has not objected so much to McDowell's philosophical conclusions, but it has taken issue with his philosophical methodology and ultimately his philosophy

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[42]McDowell, *Mind and World*, 70.

of what philosophy is. It has pressed for greater self-reflective clarity about the philosophical framework within which he attributes knowledge to the everyday perceiver who knows without needing an external scorekeeper. It has disputed his view of philosophy insofar as it might be taken to recommend that philosophical work is finished when one makes manifest common sense experience and thereby dispenses with the labyrinths into which constructivist philosophy misleads us, since the very self-critical character of philosophy returning us to that experience requires more. Finally, it has argued that increased self-reflectivity about McDowell's own philosophical approach, a kind of self-reflectivity to which philosophical quietism is not inclined, would locate science, philosophy, ethics, and common sense, in a broader framework, a kind of *Wissenschaftslehre*, that would show their continuities in addition to the differences that McDowell's critical defense of common sense makes abundantly clear.

Part VI
Essays and Documents on Lester Embree's Contributions to Phenomenology

Advancing Phenomenology
as a Practical Endeavor

Thomas Nenon

Within the phenomenological tradition, there has long been a clear awareness that science and philosophy are not merely aggregations or even systematic and internally consistent sets of propositions, but also *practices* that are undertaken by human beings with certain aims and interests. One recalls, for instance, Martin Heidegger's important insight articulated at the very beginning of *Being and Time,* that science is something human beings do – or as he puts it, a *Verhalten des Daseins*.[1] Moreover, even before Heidegger, Edmund Husserl, who in the *Logical Investigations* introduced science as a set of logically interrelated truths and is often presented as a modern day Descartes operating within the pure egological bubble of his own solitary reflections, was the same figure who devoted much of his final work to the question of how the modern ways of practicing science emerged, who made clear that all of this takes place against a common set of shared cultural assumptions, and who was well aware that even his own phenomenological work is merely part of a shared research project that he hoped would be taken up and continued by other researchers throughout subsequent generations.[2] So within the phenomenological tradition it has been clear from that outset that if phenomenology is to become and stay a reality, it must become a *tradition*, a project that is taken up and remains alive by being enacted over and again by persons across generations. At least within the Husserlian variation, phenomenology soon also became

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[1] Martin Heidegger, *Sein und Zeit* (Tübingen: Niemeyer 1956), pp. 11–13; translated by John Macquarrie and Edward Robinson as *Being and Time* (New York: Harper & Row, 1962), pp. 32–33.

[2] In Edmund Husserl, *Die Krisis der europäischen Wissenschaft und die transzendentale Phänomenologie* in: *Husserliana*, Band VI (den Haag: Nijhoff, 1962); translated by David Carr as *The Crisis of European Sciences and Transcendental Phenomenology* (Evanston: Northwestern University Press, 1970).

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a movement that consciously made an effort to transcend national boundaries. For instance, the number of Husserl's students from France and Eastern Europe was remarkable, and their subsequent impact on philosophical life in their native countries was significant; but also – and in spite of his controversial claims about philosophy as a "European" calling – he had several important students who came from countries outside of Europe, in particular Japanese students such as Satomi Takahshi and Kitaro Nishida (who read and were strongly influenced by Husserl but did not study under Husserl), as well as Shuzo Kuki, Tokuryu Yamanouchi, and Hasime Tanabe (who did study under Husserl himself)[3] and a few North American students such as Winfried Bell, Marvin Farber, and Dorion Cairns who later played significant roles in the development of phenomenology as a significant movement in their parts of the world. Of course, phenomenology is not the only philosophical school or movement that has recognized that science can be seen as a practice, that it is a shared enterprise, and that it can transcend cultural and national boundaries; however, these themes have figured prominently in phenomenology from the outset, and it is important to note that these insights have practical as well as theoretical implications.

One of those implications is that phenomenology as a movement flourishes not just through publications, but also through personal contacts and institutions. Moreover, even its publications would be possible without the establishment of journals, book series, etc. that are open to the phenomenological mode of scholarly inquiry and reflection; and those also require practical and organizational work and talents. Again, this is not something true just about phenomenology, but of every philosophical or intellectual movement, but at an early stage in the development of phenomenology, an explicit awareness and thematization of this insight arose – which is not true of every philosophical approach.

Over the past three and a half decades, Lester Embree has contributed greatly to the practical work of advancing phenomenology, first primarily through his work in North America, then over the past decade or so, increasingly through his efforts on behalf of actively supporting phenomenological work in other parts of the world and in bringing together active scholars from philosophy – and, as he would be among the first to emphasize – other disciplines such as psychology, nursing, archeology, and architecture, to name just a few examples, from around the world together to learn from and support each others' work and to promote phenomenology as a global interactive practice.

Lester's organizational work in phenomenology began during the final years of his graduate work at the New School for Social Research, which was at the time clearly the leading department in the United States for phenomenology. Founded in the 1930s as the German University in Exile, it brought together scholars trained in the phenomenological tradition who had been forced to leave their native countries

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[3]A very helpful overview of these and other students can be found in: Hans Rainer Sepp (ed.), *Edmund Husserl und die phänmenologische Bewegung: Zeugnisse in Text und Bild* (Freiburg/Munich: Alber 1988), pp. 422–442. See also the *Encyclopedia of Phenomenology*, ed. Lester Embree et al. (Dordrecht: Kluwer, 1997).

and continue their work in phenomenology in their new homes in America. By the time Lester Embree arrived at the New School, these had included Alfred Schutz, Aron Gurwitsch, Werner Marx, Hans Jonas, and Kurt Riezler, as well as Husserl's outstanding American student Dorion Cairns; and Gurwitsch, Marx, Jonas, and Cairns were still there. In 1971, Lester Embree came together with several other advanced graduate students and recent graduates from the New School for Social Research to help preserve and advance the legacy of their teachers who had played a leading role in introducing phenomenology in America. They founded the Center for Advanced Research in Phenomenology, Inc. (CARP) that was to play an important role in the philosophical scene in North America in a number of ways that will be described below. Richard Zaner served as its first president; Lester Embree was named secretary.

The initial task for CARP was the establishment of an Archival Repository that could help preserve the manuscripts and papers of their teachers and other scholars within the phenomenological tradition. The success of this part of CARP's mission is evidenced not just by the microfilm copies of the papers and manuscripts left by Alfred Schutz and Hannah Arendt that are still part of the collection as well as the originals of the papers of Dorion Cairns, the sociologist Helmut Wagner, Felix Kaufmann, Erwin Strauss, Herbert Spiegelberg, and photocopies of Winthrop Bell's papers, along with many other documents that illustrate the history of phenomenology in North America such as proceedings of early meetings of the Husserl, Circle, the Heidegger Circle, and the International Workshop on Phenomenology that was held in 1974 in Berlin.[4] More importantly, these papers were not merely preserved, but Lester Embree has played a large role over the years in making sure that they were easily accessible to a larger scholarly audience in published form, for example in the editions of the Schutz-Gurwitsch correspondence, Aron Gurwitsch's *Marginal Consciousness* and his *Phenomenology and the Theory of Science*, Alfred Schutz *Collected Papers*, the edition of works by Aron Gurwitsch, and the ongoing multi-volume edition of the unpublished lectures and essays by Dorion Cairns.

Indeed, as an editor and co-editor, Lester Embree has been involved an extremely impressive array of papers and volumes from phenomenology over the past three and a half decades. As of 2008, this includes over 40 edited volumes – beginning in 1972 with a Festschrift for Aron Gurwitsch, then continuing with the publication of writings by his New School teachers Schutz, Cairns, and Gurwitsch mentioned above, and then extending to collections documenting the discussion of phenomenological philosophers and – from Embree's perspective, even more importantly – of phenomenology that have taken place in conferences that he took a leading role in organizing over the last two and a half decades with scholars from around the world.[5]

Embree has supported the work of other phenomenologists not just through his editorial work, but through they key role he played in establishing venues for

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[4]An overview of the Archival Repository, currently housed in the Ned McWhorter University Libraries at the University of Memphis can be found on the CARP website at www.phenomenologycenter.org

[5]See Lester Embree, curriculum vitae, pp. 465–470 below.

publishing work in this area. Working with other members of the Center for Advanced Research in Phenomenology, Embree played an important role establishment of the "Series in Continental Thought" with the Ohio University Press, where he also served as Chairman of the Editorial Board from 1978 through 1984, and the series "Current Continental Research" that was co-published with the University Press of America. He also served as Chairman of its editorial board from 1981– 1997. While Lester Embree was President of CARP, CARP established the series "Contributions to Phenomenology" (CTP) with Bill McKenna as the founding editor of that series with Kluwer Academic Publishers (now Springer Verlag). This series, now with over 56 volumes, has since served as one of the most important series for current research in phenomenology since its inception in 1988; as of 2008, it includes 13 volumes in which Embree served as editor or co-editor.

Embree was also one of the "early adopters" in the realm of electronic publishing that is becoming ever more important in the twenty-first century and opens up new possibilities for the global dissemination of scholarly work because of its significantly lower costs and easy accessibility anywhere in the world that students and scholars have access to the internet. In 2001, he edited – together with Steven Crowell and Samuel J. Julian – an extensive collection of essays with the title *The Reach of Reflection: Issues for Phenomenology's Second Century* with the newly founded Electronpress at www.electronpress.com. He also played a key role in the electronic publication at www.o-p-o.net of *Essays in Celebration of the Foundation of the Organization of Phenomenological Organizations* in 2003 and 2004. He has been one of strongest advocates and a major contributor to Zeta Books, a series that distributes its books both electronically and in print from Bucharest, Romania, with a distribution reach around the world.

Of course, in addition to Embree's very substantial contributions to the publication of work in phenomenology as a whole through his editions and establishment of new venues for publications in that area, one should not overlook the important contributions to phenomenology that Embree's own scholarly work represents. These are documented in the copy of his c.v. that is included at the end of this volume. Recently and most prominently to be named here is his *Reflective Analysis* that describes Embree's considered approach to phenomenological work in philosophy, other disciplines, and in daily life. This work, intended for both beginners and experts, has already been translated into Castilian, Japanese, Russian, Polish, Romanian, and Chinese, with additional translations forthcoming. The c.v. lists three other monographs and the impressive number of over 75 articles and book chapters in addition to all of the editions, bibliographies, translations and presentations, which are also documented in the c.v. that is included in this volume.

Much of Embree's editorial work arose from another major form of his practical contributions to phenomenology, namely the numerous conferences on phenomenology that he has organized since he began his professional activities in this area with the symposium in honor of his teacher Aron Gurwitch in 1973 and published those essays as issue number 5 in the journal *Research in Phenomenomenology*. He became one of the Husserl Circle's earliest members at its second meeting in 1969 and has remained one of its most active participants ever since, including hosting

meetings at crucial points in the history of that organization in 1977 and 1994. He has been an active member of the Merleau-Ponty Circle since its founding in 1974 and coordinated that group's meeting in 1977, and he was one of the founders and has served many years on the Executive Committee of the Society for Phenomenology and the Human Sciences (SPHS) that normally meets each year in conjunction with the Society for Phenomenology and Existential Philosophy (SPEP). One of Embree's positive contributions to SPEP, which he has also attended regularly for 40 years now, includes the establishment of CARP's annual Aron Gurwitsch Memorial lecture at SPEP that has featured many of the most notable scholars in phenomenology from around the world and is often one of the best-attended events at the annual conference.

Embree's energy, organizational experience, and extensive personal contacts became especially apparent after his appointment to the William F. Dietrich Eminent Scholar in Philosophy Chair at Florida Atlantic University in 1990. Combining the resources of his endowed chair with his leadership in CARP, along with some funds generously bequeathed to CARP by Ilse Schutz and Alice Gurwitsch, the Seagate Inn in Delray Beach became a gathering place at conferences for leading phenomenologists from North America and around the world. Many of these are documented in the collections of essay in the Contributions to Phenomenology series mentioned above. They began with a conference he co-organized with John Drummond on "The Phenomenology of the Noema," followed by conferences on phenomenology and the natural sciences, phenomenology and the formal sciences, and phenomenology and the cultural disciplines, each time with a conference co-organizer who also took the lead in publishing the papers delivered at the conference. Other topics have included issue in Husserl's *Ideas II*, phenomenology and politics, phenomenological ethics, feminist phenomenology, Simone de Beauvoir's existential phenomenology, Merleau-Ponty's Reading of Husserl, and Schutzian social science – to name just a few.

The other increasingly dominant focus of Embree's organizational energies during this time has been facilitating contacts between members of the various phenomenological traditions around the world that for several decades had taken on a life of their own within their own nations or parts of the world and not been as actively in contact with each other as the North America and Western European phenomenologists have been since the end of World War II. One of the first conferences organized by CARP after Embree became president was a meeting organized by J.N. Mohanty and D.P. Chattopadhyaya with colleagues from the United States and India that was held in India in 1988. At his Delray Beach meetings, Embree had always included colleagues from Europe and Asia, but his impetus towards increasing international contacts across different national phenomenological traditions took a decisive turn as he was soliciting contributions to the comprehensive *Encyclopedia of Phenomenology* that was published in the CTP series in 1997. In addition to entries on topics and prominent figures in the phenomenological tradition, it included an essays on the history of and current state of activity in phenomenology in a whole range of countries that included Australia, Austria, Canada, China, Czechoslovakia, France, Germany, Great Britain, Hungary, India, Italy, Japan, Korea,

the Netherlands and Flanders, Poland, Portugal, Russia, Scandanavia, South Africa, Spain and Latin America, the United States, and Yugoslavia. In particular, this project identified phenomenological traditions in Korea, Japan, and China as well as in Latin America and Eastern Europe that were largely unknown to most scholars in North America and Western Europe at the time. He came to the conclusion that "Given its spread into other disciplines as well as across the planet, phenomenology is arguably the major philosophical movement of the 20th century."[6]

In commissioning these articles, Embree and his co-editors became personally acquainted with many of the leading practitioners of phenomenology in these parts of the world and in the years that followed the publication of the *Encyclopedia*, Embree consciously sought to find ways to support and foster these traditions and to bring together these scholars from around the world who previously had not known each other and their work. Under the CARP umbrella, Embree facilitated meetings between leading phenomenologists from North America and Western Europe and phenomenologists from Korea, Hong Kong, Japan, and Latin America, among others. In some of these cases, CARP was instrumental in the foundation of phenomenological organizations in these countries as well as in the Nordic countries of Europe, in Eastern Europe – in particular in Romania – and then just recently in the Mediterranean region. These include the Círculo LatinoAmericano de Fenomenología (CLAFEN), the Nordic Society of Phenomenology (NoSP), the Central and European Conference on Phenomenology (CEECOP), Phenomenology for East Asia CirclE (PEACE), and Reseau Euro-Mediterranean de Phénoménologie pour le Dialogue Intercultural (REM).

These efforts culminated in the founding of the Organization of Phenomenological Organizations (OPO) under Embree's leadership in Prague in 2002 that brought together over 50 representatives of phenomenological organizations from around the world to present their work and find out about contemporary work in phenomenology from their intellectual compatriots in other parts of the world. Since then, OPO II met in Lima in 2003 and the third meeting of OPO will take place in Hong Kong in December of 2008.

Ongoing communication between the members of these philosophical organizations and other interested scholars has been greatly facilitated by the "Newsletter of Phenomenology," which Embree was instrumental in establishing in 2002. This electronic newsletter provides information about recent publications in phenomenology in a whole range of languages, calls for papers and reports on conferences, news about recent appointments and other items on a monthly basis to over 3,750 subscribers.

Lester Embree would be the first to emphasize the degree to which scholarly endeavors in general, and his own endeavors within phenomenology in particular have been a collaborative effort. His involvement in scholarly organizations, his editorial work, his role in establishing new venues for publication and organizing

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[6]Lester Embree et al. (eds.), *Encyclopedia of Phenomenology* (Dordrecht: Kluwer, 1997), p. 1.

national and international conference in phenomenology have always been collaborative enterprises, involving teams of scholars and scholarly publishing houses. Embree has respected and acknowledge the legacies of those who went before in the phenomenological tradition; involved those currently contributing as scholars, co-editors, fellow organizers of conferences, and colleagues; and attempted whenever possible to involve younger scholars and future phenomenologists to become part of the enterprise of keeping phenomenology alive not just as a science, but as a living tradition. Lester Embree would admit that all of his efforts have been part of a collaborative effort, but one can truly say that he has played a leading role in keeping phenomenology healthy as a scholarly and scientific approach to understanding and solving traditional philosophical problems as well as the global challenges facing us all in what is now the second century of the phenomenological tradition as a global enterprise.

A Letter of Dorion Cairns

Fred Kersten

For Lester Embree on his 70th Birthday

Like most of his fellow students, Lester Embree was deeply impressed and influenced by his teacher, Dorion Cairns. For this reason I submit as a present for his *Festschrift* an important letter of Dorion Cairns dealing with Husserl in the light of several of his manuscripts in the Louvain Archives.

Student and confidant of Husserl in the 1920s and early 1930s, Dorion Cairns was one of the foremost American interpreters and translators of the work of Edmund Husserl in the English-speaking world.[1] Moreover, his unpublished papers contain many invaluable and long commentaries on almost all of Husserl's published writings[2] as well as unfinished translations of *Logische Untersuchungen, Ideen I* and "Philosophy as a Strict Science."[3] In addition to reviews of the literature in phenomenology,[4] the manuscripts also include extensive lecture courses, written out and, over the years, heavily revised by Cairns.

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[1]In 1960 he published an authorized translation of *Cartesian Meditations*, and in 1969 an authorized translation of *Formal and Transcendental Logic* (both Martinus Nijhoff). Prior to his death, Cairns had sent to the publisher his valuable *Guide to the Translation of Husserl*, and after his death, edited by Richard Zaner, Cairns' invaluable *Conversations with Husserl and Fink* was published.

[2]For example, Dorion Cairns, "The Fundamental Philosophical Significance of Husserl's Logische Untersuchungen," edited by Lester Embree, *Husserl Studies*, 18 (2002), pp. 41–49; "Syntactical Acts and Syntactical Objects," edited by Lester Embree, in *Husserl and the Logic of Experience*, edited by Gary Banham, New York: Palgrave Macmillan, 2005, pp. 104–130.

[3]Much of the latter translation was (silently and without attribution) used by Quentin Lauer in his published translation; see Edmund Husserl, *Phenomenology and the Crisis of Philosophy*. ("Philosophy as Rigourous Science," and "Philosophy and the Crisis of European Man). Translated with notes and an Introduction by Quentin Lauer. New York, Evanston, and London: Harper Torchbooks, 1965, pp. 71–147.

[4]For example, a review of Eugen Fink's "The Problem of E. Husserl's Phenomenology," which Lester Embree published in *The New Year Book for Phenomenology and Phenomenological Philosophy*, IV (2004), pp. 319–322.

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In recent years Lester Embree has been engaged in the important task of critically editing and publishing of many of the manuscripts of Dorion Cairns, eventually to be published in six volumes. In addition to a brief autobiography published by Lester E. Embree under the title, "My Own Life," in 1973,[5] the only attempt I know to sketch some of the vast bulk of his thought is to be found in Lester Embree, "The Legacy of Dorion Cairns and Aron Gurwitsch: A Letter to Future Historians."[6] To some extent, this article locates Cairns, along with his colleague Aron Gurwitsch, in the context of the "phenomenological movement" since WWII. Cairns' earlier political and cultural views are partially expressed in a correspondence with Aron Gurwitsch and in *The Nation* prior to WWII; published with commentary by Lester Embree, "Two Husserlians discuss Nazism: Letters between Dorion Cairns and Aron Gurwitsch in 1941."[7] After the war he taught at Rockford College and the Graduate Faculty of the New School for Social Research.

Dorion Cairns' colleague at the Graduate Faculty, Aron Gurwitsch, once noted that Cairns' "natural environment was among his students, upon whom he exerted a profound influence and to whom he generously gave of his energy and time, going far beyond the call of duty."[8] The letter that follows is a good example, here of Cairns taking time from a trip to Europe to satisfy a request from one of his students.

The letter is important because, especially in the last decade of his life, Cairns sought to develop, not a system, but instead a critically systematic presentation of Husserl's and a Husserlian phenomenology. And in the letter, perhaps for first time, Cairns sought to systematically develop Husserl's phenomenology with respect to a specific philosophic problem: our experience of space and time.

The text of the letter is only slightly edited for publication. Several footnotes and comments (designated by letters A-G) have been added to establish the context of the line of thought Cairns' comments.

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[5]In *Phenomenology: Continuation and Criticism*, *Essays in Memory of Dorion Cairns*, edited by Richard Zaner and Fred Kersten. The Hague: Martinus Nijhoff, 1973, pp. 1–13. (Originally intended as a *Festschrift* for Cairns, sadly, he did not live to see its publication, and it became a memorial volume. However, shortly before he died, I saw him in hospital and was able to present to him a typed and bound copy of the *Festschrift* assembled in his honor.) The volume also contains three essays revised and edited by Cairns: "An Approach to Husserlian Phenomenology," "The Ideality of Verbal Expressions," and "Perceiving, Remembering, Image-Awareness, Feigning Awareness" (the latter published for the first time).

[6]*Analecta Husserliana*, Vol. XXVI, pp. 115–146.

[7]*Husserl Studies*, Vol 8, 1991, pp. 77–105. It should be noted that Cairns enlisted in the U.S. air-force at the outbreak of WWII, served in Italy (as an intelligence officer interrogating German prisoners of war), and that, as he expressed to me at one time, he did so because of his profound regret at not having joined the Lincoln Brigade which fought against fascism in Spain.

[8]*Phenomenology: Continuation and Criticism*, p. viii.

The Letter[9]

<div align="right">Paris, July 30, 1961</div>

Dear Fred,

Your letter dated July 23 came 2 days ago. I'm glad my report of what I found in the archives gave you impetus. Within a couple of weeks I'll send you a copy of all the notes I made. But you yourself ought to study all the relevant material in the Archives before you complete your dissertation.

In none of the manuscripts I saw does Husserl follow systematically the methods of *Abbau* and *Aufbau*.[A] In none of them does he state that the space-time form of the world is "prior" to the space-time forms of particlar spatio-temporal things in the world. Indeed, he states the contradictory of this thesis in a manuscript, dated 1931 by Fink (D 12 IV). On the other hand I am sure that somewhere at some time, he stated that the quasi-spatio-temporal spread of each field of sensation is "prior" to any particular salient (and *its* particular spread) within it. If this thesis is correct, must we not disinguish between (1) the quasi-spatio-temporal spread of a field, regardless of actual or possible salients ("data" of sensation), and (2) a founded sense of that field-spread, precisely *as* containing (or even *made up* of) actual or possible salients? And, on the basis of such a distinction, can we not reconcile what you and I have been calling "Husserl's earlier and later views"?[B]

Furthermore, does not the aforesaid thesis concerning fields of sensation suggest that something similar may be true regarding higher levels and ultimately regarding the level of "the" world?[C] And if something similar is indeed true regarding this level, must we not distinguish analogously between (1) the space-time of the world, regardless of this particular intrinsic spatio-temporal qualities of actual and possible particular things and events, and (2) a founded sense of mundane space-time, *as* the synthetic complex of such particular spatio-temporal alikes of particulars? If the answer to this affirmative, then it may well be the case (1) that mundane space-time, as potential "container" of actual and possible spatio-temporal things and events, is "prior" to these and *also* (2) that mundane space, an "aggregate" of actual and possible spatio-temporal form-qualities of things and events, "*presupposes*" these. – These are limits for actual analyses.[D]

Incidentally, they imply I have intentionally formulated them in a manner that suggests that, as I have said, <(1)> one cannot abstract space from time and (2) that one cannot analyze space-constitution as if it were separable from the constitution of *mundane* time. Even at the lowest level, each field ("hyletic," "aesthetic" or "kinaesthetic") and each "datum" has its quasi-spatio*temporal* spread and the "temporal" aspect of this spread is *not* the "temporality" of the constitutive intentive processes.[E] (So far as I know, Husserl never stated this, but it is evident and clears up some obscurities.)

More when I get home.[F] If you have time, send me a copy of this letter. I may want to revise or elaborate for my own use (as well as yours, perhaps). …

Cordially,
Dorion Cairns
[signed]

PS – and don't forget the problems of the constitution of world space-time as *inter*-subjective, even "before" conceptualization.[G]

Comments

A. "…the methods of Abbau and Aufbau." The occasion for his letter was to see whether there were any manuscripts of Husserl exclusively devoted to the development of this method. The systematic development of the method of "Abbau" and "Aufbau" formed the core of my doctoral dissertation directed by Dorion Cairns, "Toward a Phenomenology of Space," Graduate Faculty, The New School for Social Research, 1964. With Cairns' approval, therefore, I attempted to sketch such a systematic development.[10] Despite its flaws, the basic text for that development is Husserl's *Cartesian Meditations*. There the methods of Abbau and Aufbau are transcendental methods tied to the "methodological insight that … eidetic intuition is the fundamental form of all transcendental methods." As a consequence, all-embracing laws prescribe the possible sense for "every factual <transcendental> statement about something transcendental" in each case of unbuilding and, correspondingly, for building up analysis *at each and every level or stratum* of what Husserl called "*oriented constituting* of the real, objective world" (§ 49, 58). The *task,* then*,* of transcendental phenomenological methods is to discover how what is primordially constituted enters into what is secondarily constituted at the next higher layer or level of oriented constituting of the real, objective spatiotemporal life-world. More specifically the task is to discover how primordially constituted things pertaining to the senses enter into the secondarily constituted thing-phantoms, thus acquiring the "appearance" of the next higher layer of oriented constituting and is "necessarily given as a horizon of being that is accessible from the promordial and is discoverable *in a particular order.*"

Thus in a conversation in the Fall of 1961, we developed the following sketch of unbuilding:

We begin by "abstracting from," or, better and more precisely, "*discriminating*" – to use another Cairnsian term for Abbau or unbuilding – the conceptual sense which

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[10]Because I was only partially successful, I revised the method further developed the method over the years, and finally within the framework of the transcendental phenomenological reduction in my *Phenomenological Method: Theory and Practice*, Dordrecht, 1988 (second enlarged and revised edition, *Space, Time and Other*, 2007). Part One deals with the method of transcendental phenomenological reductions; Part Two with the *Abbau* of the real objective spatiotemporal world; Part Three with its *Aufbau*, and Part Four with the philosophical problems of space and time resulting from the phenomenological analyses.

is contemporary, e.g., relativity theory in which space and time form an indissoluable unity. We also abstract from, or discriminate, the Newtonian–Galilean–Euclidean tradition in which space and time can be considered separately. This leaves us with the sense-stratum of the life-world, having abstracted or discriminated noetically-noematically. We now can pursue specific analyses of this stratum, which probably has never been objectivated before and which probably holds for all cultures, Western and otherwise. Additionally we also refrain from the possible idealization of this world, i.e., from constituting a nomological science. Starting our analyses with, e.g., simultaneity at a distance, we may find on this level that objective (in the intersubjective sense) space and time are an indissoluable unity. Hence the theory of relativity is probably the most faithful conceptualization of the life-world in this sense.

The next step is to show on all levels of oriented constituting of the real objective world that objectivation of space involves objectivation of time, but that the converse does not hold. That is, there can be objectivation of the intrinsic temporality of the intentive flux of consciousness without objectivation of space. But there can be no objectivation of space without objectivation of time. This signifies that the temporality of the intentive flux necessarily apperceived in spatialization is necessarily constituted in the world. In other words, the intrinsically temporal intentive flux is necessarily mundanized. This further signfies that extrinsic temporal and extrinsic spatiality are an indissoluable unity on all levels of constituting.

A further and additional method of reduction follows: we zero locomotor kinaesthesia; we are fixed at one spot. Space is now given as orientated, although we still assume that we can see, small, taste, touch. Here, qua phenomenologist, I have the option of further unbuilding, e.g. to the orientated sight-world, or to the orientated any kind of world. Unbuilding to the world of touch, for instance, the tactual organism is given as tied down, and no sense is given except what is of the organism and what is in contact with it. We proceed to isolate and analyze the other sensory fields as well – the visual, the olfactory, the auditory, in each case setting at zero the same kinaesthesia we did analyzing the tactual field.

Once we have seen how each field is constituted we can proceed to a building up analysis, of how each level of oriented constituting uncovered acquires the appearance of the secondarily constituted at the next higher level.[11]

B. "… 'Husserl's earlier and later views?'" For a discussion of Husserl's "earlier" and "later" views, see Fred Kersten, Introduction to translation of Edmund Husserl, "Foundational Investigations of the Phenomenological Origin of the Spatiality of Nature," in Edmund Husserl, *Shorter Works*, edited by F. Elliston and P. McCormack. Notre Dame: University of Notre Dame Press, 1982, pp. 222–233.

C. "… the level of 'the' world?" In this connection, see Dorion Cairns, "The Many Senses and Denotations of the Word *Bewußtsein* ('Consciousness') in Edmund Husserl's Writings," *Life-world and Conscousness. Essays for Aron Gurwitsch.* Edited by Lester E. Embree. Evanston: Northwestern University Press, 1972, pp. 19–31,[12] and comment E.

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[11]See also *Phenomenological Method*, Chapters two, five, and six.

[12]See also ibid., Chapter Five.

D. "These are limits for actual analyses." In this connection, see Fred Kersten, *Phenomenological Method*, §§ 60, 97ff. for an attempt to circumscribe the limits of actual phenomenological analyses.

E. "… is *not* the 'temporality' of the constitutive intentive processes." In a conversation dated 11 October 1961 Cairns suggested the following line of thought: If, as Husserl holds, hyletic data are really inherent components of *Erlebnisse*, then it would follow that quasi-spatial fields which they make up are themselves immanent in *Erlebnisse*. It further follows from this that on the lowest level of intending, an *Erlebnis* is spatially spread out – e.g., the pain in my toe is a really inherent part of the intending to it. *This is a tantamount absurdity! The whole issue of hyletic data, and of the morphe-hyle structure, involves a pseudo problem.* Rather it is the case that, at the lowest level of intending, an *Erlebnis* necessarily apperceives itself as simultaneous with sensa. And the only real and true question is whether or not sensing of sensa is a necessary substratum in any concrete *Erlebnis*. To be sure, sensing of sensa is always going on, but is it necessary?[13]

F. "More when I get home." The "more" consisted of conversations from the Fall of 1961 through the Fall of 1963 elaborating and, as Cairns indicated, revising the view he expressed in the letter.

G. "… world space-time as intersubjective, even "before" conceptualization." In a another conversation Cairns noted that the intersubjectivity of the spatiotemporal world is not the result of any thinking about it, but is fundamental to one's thinking about it. Areas of my past, present and furture are given, but with the range of others in the past, present and future. I see the same segment of the world as do others, and accept this as a matter of course. The world is given as a spatiotemporal world *for us*, and this is a sense it has *for me* and this "for me" is fundamental to the sense, "for us."[14]

By way of a final comment on the letter, I may be permitted to add that, so far as I know, Cairns never changed his mind about the order of the systematic sketch of unbuilding "abstractions" or discriminations, each of which revealed a reduction to (perhaps better, introduction to) an intentive layer of the oriented constituting of the real objective life-world.[15] I would hope that Lester Embree's editing of the papers of Dorion Cairns will provide us with the many concrete analyses of the various layers oriented constituting of the life-world.

Until then we have to be satisfied with the invaluable clues to understanding Husserl's phenomenology provided by Cairns' letter.

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[13]See *Phenomenological Method*, §§ 25, 54 for further discussion and development of Cairns' view. For time, see ibid., §§ 82ff.

[14]See also *Phenomenological Method*, §§ 96, 98; and, for a development of a somewhat Cairnsian/Husserlian view, see Fred Kersten, "Private Faces," *Research in Phenomenology*, XII (1983), pp. 167–177.

[15]Cairns always insisted that the way to read Husserl is "backwards." We start with the *Cartesian Meditations*, proceeding back to the *Logical Investigations* and *Philosophy of Arithmetic* – all the while bringing the earlier works up to the level of thinking in *Cartesian Meditations*.

Curriculum Vitae

Lester Embree

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I. PERSONAL INFORMATION

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A. Education

B.A. Tulane University, Philosophy (Minor in Psychology), June 1962
Ph.D. New School for Social Research, Philosophy (Minor in Sociology), June 1972
Thesis: *The 'True Philosophy' in David Hume's "Treatise of Human Nature*," directed by Aron Gurwitsch

B. Thematic Specialties

Reflective Analysis
History-oriented Philosophy of the Cultural Disciplines (esp. Archaeology)
Phenomenological Axiology and Praxiology
History-oriented Environmental Philosophy and Philosophy of Technology

C. Historical Specialties and Figures

Early Modern Philosophy and the Phenomenological Tradition:
Cairns, Gurwitsch, Hume, Husserl, James, Sartre, Scheler, Schutz, and Merleau-Ponty

D. Academic Experience

Secretary of the Husserl Archives, New School for Social Research (1968–1969)
Teaching Assistant to Aron Gurwitsch at New School (1968–1969)
Assistant Professor of Philosophy, Northern Illinois University (1969–1974)
Associate Professor of Philosophy, Duquesne University (1974–1979)
Professor of Philosophy, Duquesne University (1979–1990)
William F. Dietrich Eminent Scholar in Philosophy, Florida Atlantic University (1990-)

E. Research Support

NIU Dean's Travel Grant to examine James inedita at Harvard (1972)
NIU Released Time for research on James's epistemology (1973)
NIU Summer Grant for research on James's Philosophy of Psychology (1973)
Duquesne Graduate Dean's Grant for Surveys of Theoretical Archaeology and Cognitive Anthropology (1979)
Duquesne Hunkele Research Grants for editorial projects (1980 and 1981)
NEH Summer Stipend for Sociohistory of Theoretical Archeology (1980)
DAAD Summer Study Grant to study ethics mss. in Husserl Archiv zu Köln (1982) (declined)
NEH/Council of Philosophical Studies grant for "Institute on Intentionality in Continental and Analytic Perspectives" (1982)
Duquesne Released Time to study Formal Methods in Cultural Anthropology at University of Pittsburgh (1983)
Duquesne Faculty Development Grant for "Computer Analysis of Agreement Perceptions in Cognitive Anthropology" (1983–1984).
Duquesne Hunkele Grant to participate in World Archaeological Congress in Southampton (1986) (declined)
Duquesne Dean's Fund Grant for Trip to Interview Theoretical Archaeologists (1986)
Duquesne Noble J. Dick Fund for Conference on "Lifeworld and Technology" (1987)
Duquesne Released Time to work on book ms. (Spring 1988)

F. *Funds Raised for Center for Advanced Research in Phenomenology*

1978: Matchette Foundation, $2,000 for Touring Scholar Program

1980: Matchette Foundation, $2,000 for Touring Scholar Program

1981: Matchette Foundation, $1,000 for "Kant and Phenomenology" conference

1983: Matchette Foundation, $1,000, and Pennsylvania Humanities Council, $1,000 for "Dilthey and Phenomenology" conference

1984: Pennsylvania Humanities Council, $1,150, for "Practice of Research in the Human Sciences" conference

1985: National Endowment for the Humanities, $9,950 for "Phenomenology and the Formal Sciences" conference co-sponsored by Duquesne University and University of Pittsburgh Center for Philosophy of Science

1986: Duquesne University Noble J. Dick Faculty Development Fund, $3,000 and Pennsylvania Humanities Council, $1,000, for "Lifeworld and Technology" conference co-sponsored by Philosophy and Technology Studies Center of Polytechnic University

1988: $2,500 in donations from Japanese corporations for "Japanese and Western Phenomenology" conference co-sponsored with Phenomenological Association of Japan

1990: $10,000 bequest to CARP from Estate of Ilse Schutz

1992–1997: $12,000 raised for CARP for Edward G. Ballard Book Prize Fund

1998: $25,000 bequest to CARP from Estate of Alice Gurwitsch

2005: $10,000 from Professor Hwa-Yol Jung for CARP conference on Political Phenomenology in memory of his wife

II. TEACHING

A. *Undergraduate Courses*

Undergraduate courses have been taught over the years on all levels, Directed Independent Studies and Honors Seminars included.

B. *Graduate Courses*

1972, Spring, "Introduction to Constitutive Phenomenology."

1974, Spring, "Phenomenology."

1974, Fall, "Alfred Schutz's Theories of Everyday Life and Social Science."

1975, Spring, "The Phenomenological Epistemologies of the Early James and Bergson."

1975, Fall, "Introduction to the Early Merleau-Ponty."

1976, Spring, "Hume's Theory of the Understanding."
1976, Summer, "Husserl's Crisis of the European Sciences"
1976, Fall, "Max Scheler's Moral Philosophy."
1977, Spring, "Seminar on Phenomenology and Gestalt Theory."
1977, Fall, "Schutz's Phenomenology of Practical Life and Human Science."
1978, Spring, "Hume's Treatise."
1978, Fall, "Husserl's Ideen I."
1979, Spring, "The Old and New in Philosophy of Science."
1979, Spring, "Seminar on Phenomenological Axiology and Praxiology."
1979, Fall, "The Philosophy of Psychology of William James."
1979, Fall, "The New Science Theory and Continental Thought."
1980, Spring, "Hume's Theory of the Understanding."
1980, Spring, "Merleau-Ponty and the Human Sciences."
1980, Summer, "Phenomenology and the Lifeworld."
1980, Fall, "Husserl's Cartesian Way."
1981, Spring, "Practical Life and Human Science in Schutz."
1981, Fall, "Phenomenological Psychology."
1982, Fall, "Hume's Metaphysics and Theory of Moral Sciences (Treatise I & II)."
1983, Spring, "Seminar on James's Principles of Psychology."
1983, Summer, "Husserl's Crisis."
1983, Fall, "Husserl's Phenomenological Psychology and Cartesian Meditations."
1984, Spring, "Phenomenological Value Theory and Ethics."
1984, Summer, "Husserl's Formal and Transcendental Logic."
1984, Fall, "Seminar on John Searle's 'Phenomenology.'"
1985, Spring, "The History and Phenomenology of Science and Technology."
1985, Summer, "Other and Self in Scheler."
1985, Fall, "Husserl's Ideas I."
1986, Spring, "Critique of Hermeneutical Science Theory."
1986, Fall, "Phenomenological Value Theory and Ethics."
1987, Spring, "Seminar in Philosophy of Technology."
1987, Fall, "Schutz on Life and Science."
1988, Fall, "Husserl's Phenomenological Psychology and Cartesian Meditations."
1989, Spring, "Phenomenological Value Theory and Ethics."
1990, Spring, "Seminar in Philosophy of Technology."
2001, June, Guest Professor, Summer Program, Pondicherry, India: "Husserl's Cartesian Meditations."
2002, June, Guest Professor, Summer Program, Chennai, India: "Phenomenology of Social Science."
2002, September, Guest Professor, Peking University, Beijing, China: "Introduction to Reflective Analysis."
2003, June, Guest Professor, Summer Program, Bangalore, India: "Theory of Phenomenological Psychology."
2003, July, Workshops on Phenomenology taught to psychologists, educationists, and nurses as well as philosophers at Edith Cowan, Griffith, and Queensland Universities in Australia.

2006, November, Guest Professor, Seminario on *Analisis Reflexivo,* Universidad Pedagogica Nacional, Bogota, Colombia.

2007, October, Three Day Workshop on *Reflective Analysis*, Institute of Philosophy, National Sun Yat-Sen University, Kaosiung, Taiwan.

2008 Spring, Florida Atlantic University, "Phenomenology of the Cultural Disciplines."

2008, August, Three Day Workshop on "Fenomenologia Intra-cultural," Instituto Luis Villoro, Universidad Michoacana, Morelia, Mexico.

C. Dissertations Directed

Stephen Watson (now Professor, University of Notre Dame): *Language and the Speaking Subject: An Examination of the Derrida/Searle Exchange* (1980).

Philip E. Blosser (now Professor, Lenoire-Rhine College): *Scheler's Alternative to Kant's Ethics* (1985).

Timothy Casey (now Professor, University of Scranton): *Technology and the Rise of Technique* (1986).

Lee Hardy (now Professor, Calvin College): *Theoretical Existence in Husserl's Philosophy of Physical Science* (1987).

Kurt Torell (now Professor, Lewis-Clark State College): *Counter-Factual Conditionals in Historical Science* (1992).

Henry F. Davis, Jr. (Independent Scholar) *Technology and the Origin of Nature Concepts: The Impact of the Built World on Aristotle and Galileo's Concepts of Motion* (2001).

III. PUBLISHED RESEARCH

A. Investigations of Things more Than of Work by Others

1. Books

(1) *Análisis reflexivo. Una primera introducción a la Fenomenológica / Reflective Analysis. A First Introduction to Phenomenology,* trans. into Castilian by Luis Ramán Rabanaque (Morelia: Editorial Jitanjáfora, 2003, 543 pp. Russian translation, *Лестер Эмбри Рефлексивный анализ. Первоначальное введение в феноменологию*, by Victor Moltchanov, Moscova: Triquadrata, 2005), 223 pp.; in the original English as *Reflective Analysis* (Bucharest: Zeta Books, 2006), 196 pp.; in Japanese as *Hanseiteki Bunseki* (2007); in Polish as *Analiza refleksyjn;* in Chinese as 反思性分析：現象學研究入門 (Taiwan, 2007) and also from Peking University Press in 2007; and in Romanian as *Analiza Reflexivă* (Cluj Napoca: Casa Cărții de Știință, 2007).

(2) *Fenomenologia Continuada: Contribuciones al Analysis Reflexivo de la Cultura,* trans. Claudia Martinez U. y otros (Morelia: Editorial Jitanjáfora, 2007), 317 pp.

(3) *Environment, Technology, Justification* (Bucharest: Zeta Books, 2009), 173 pp. (Also planned for publication in Castilian, Chinese, and Japanese expected for 2009.)

(4) *Schutzian Cultural Science Theory*, planned for publication in Castilian, Chinese, and English.

2. Essays and Chapters

(1) "Biographical Sketch of Aron Gurwitsch." In *Life-World and Consciousness: Essays for Aron Gurwitsch*, edited by Lester Embree, xvii–xxx. Evanston: Northwestern University Press, 1972.

(2) "Towards a Phenomenology of *Theoria.*" In *Life-World and Consciousness: Essays for Aron Gurwitsch*, edited by Lester Embree, 191–207. Evanston: Northwestern University Press, 1972.

(3) "Reflection on Planned Operations." In *Dialogues in Phenomenology*, edited by Don Ihde and Richard Zaner, 176–191. Selected Studies in Phenomenology and Existential Philosophy, vol. 5. The Hague: Martinus Nijhoff, 1975.

(4) "Gestalt Law in Phenomenological Perspective." *Journal of Phenomenological Psychology* 10 (1979): 112–127.

(5) "A Note on 'Is' and 'Ought' in Phenomenological Perspective." *Philosophy and Phenomenological Research* 39 (June 1979): 595–597.

(6) "Phenomenological Speculations on Lived Marriageability." In *Philosophy and Archaic Experience*, *Essays for Edward G. Ballard*, edited by John Sallis, 163–181. Pittsburgh: Duquesne University Press, 1982.

(7) "Zoon Logon Ekhon." In *Essays in Memory of Aron Gurwitsch*, edited by Lester Embree, 391–404. Washington, DC: Center for Advanced Research in Phenomenology and University Press of America, 1984.

(8) "Teleology in Human-Scientific and Natural-Scientific Psychology and Psychotechnics." In *Current Issues in Teleology*, edited by Nicholas Rescher, 120–128. University of Pittsburgh Center for Philosophy of Science and University Press of America, 1986.

(9) "Archaeology: The Most Basic Science of All." *Antiquity* 61 (1987): 75–78.

(10) "Contacting the American Theoretical Archeologists." In *Tracing Archaeology's Past: The Historiography of Archaeology*, edited by Andrew L. Christenson, 62–74. Edwardsville: Southern Illinois University Press, 1989.

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(19) Edition, with Fred Kersten and Richard M. Zaner, of Dorion Cairns: "The Theory of Intentionality in Husserl," *Journal of the British Society for Phenomenology*, 32 (1999): 116–124. Reprinted in Dermot Moran and Lester Embree, eds., *Phenomenology: Critical Concepts in Philosophy*, 5 vols. London: Routledge, 2004, I, 184–192.

(20) Edition, with Fred Kersten and Richard M. Zaner of Dorion Cairns: "The First Motivation of Transcendental *epochē*," in *One Hundred Years of Phenomenology: Husserl's* Logical Investigations *Revisited*, edited by Dan Zahavi, Phaenomenologica Series, 219–231. Dordrecht: Kluwer Academic Publishers, 2002.

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(22) Edition, with Fred Kersten and Richard Zaner of Dorion Cairns, "The Problem of Physical Qualities," *Recherches Husserliennes,* 19 (2003), 3–11.

(23) Edition, with Fred Kersten and Richard Zaner of Dorion Cairns, "Syntactical Acts and Syntactical Objects," in *Husserl and the Logic of Experience*, edited by Gary Banham, 104–130. London: Palgrave Macmillan, 2005.

(24) Edition, with Fred Kersten and Richard Zaner of Dorion Cairns, "Review of 'Das Problem der Phänomenologie Edmund Husserls' by Eugen Fink," *The New Yearbook for Phenomenology and Phenomenological Philosophy*, 4 (2004): 323–339.

(25) Edition with Fred Kersten and Richard M. Zaner of Dorion Cairns, "Husserlian Phenomenology and Objectivism," *Journal of the British Society for Phenomenology*, 38(2) (2007): 116–127.

(26) Edition with Fred Kersten and Richard M. Zaner of Dorion Cairns, "Some Applications of Husserl's Theory of Sense-Transfer," *The New Yearbook of Phenomenology and Phenomenological Philosophy*, 7 (2007): 309–335.

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(28) Edition of Alfred Schutz, "Understanding, Self-Reflection, and Equality: Alfred Schutz˝s Participation in the 1955 Conference on Science, Philosophy, and Religion," Introduction by Michael Barber, *Schutzian Research*, I (2008): 271–289.

(29) Edition with Fred Kersten and Richard M. Zaner of Dorion Cairns, "Nine Fragments on Psychological Phenomenology," *Journal of Phenomenological Psychology* (2010): pp. 1–270.

3. *Interpretive Essays and Introductions*

(1) "The Doctrine of the Ego in Husserl's *Ideen I*." In *Phenomenology: Continuation and Criticism, Essays in Memory of Dorion Cairns*, edited by Fred Kersten and Richard Zaner, 24–32. Phaenomenologica, vol. 50. The Hague: Martinus Nijhoff, 1973.

(2) "Aron Gurwitsch als phänomenologischer Wissenschaftstheoretiker." Translated by Alexandre Métraux. *Zeitschrift für allgemeine Wissenschaftstheorie* 5 (1974): 1–8.

(3) "Some Results of Cairns's Investigations into the Affective and Conative." In "Symposium in Memory of Dorion Cairns," edited by Frederick Kersten. *Research in Phenomenology* 4 (1974): 25–28.

(4) "Gurwitsch's Theory of Logic." *Social Research* 42 (1975): 129–137.

(5) "Reflection on the Ego." In *Explorations in Phenomenology*, edited by David Carr and Edward S. Casey, 243–252. Selected Studies in Phenomenology and Existential Philosophy, vol. 4. The Hague: Martinus Nijhoff, 1975.

(6) "William James and Some Problems of Idealism." In *Der Idealismus und seine Gegenwart*, Festschrift für Werner Marx, edited by Ute Guzzoni, Bernard Rang, and Ludwig Siep, 101–115. Hamburg: Felix Meiner Verlag, 1976.

(7) "Everyday Social Relevancy in Gurwitsch and Schutz." *Annals of Phenomenological Sociology* 2 (1977): 45–61 and as "Theorien sozialer Relevanz: Aron Gurwitsch und Alfred Schutz." Translated by Alexandre Métraux. In *Alfred Schutz und die Idee des Alltags in den Sozialwissenschaften*, edited by W. M. Sprondel and R. Grathoff, 65–77. Stuttgart: Enke Verlag, 1979.

(8) "The Phenomenology of Speech in the Early William James." *Journal of the British Society for Phenomenology* 10 (1978): 101–109.

(9) "The Early Progress of Hume's Thinking." *International Studies in Philosophy* 11 (1979): 103–121.

(10) "Merleau-Ponty's Examination of Gestalt Psychology." *Research in Phenomenology* 10 (1980): 89–121. "El Examen de la Psicología de la Forma de Merleau-Ponty," translated by Luis Román RABANAQUE, *Investigaciones Fenomenologicas,* Volumen Extra (2008), ed. Maria del Carmen LOPEZ y Maria Luz PINTOS, pp. 73–107.

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(50) "*Aufbau* to Animism: A Sketch of the Alternate Methodology and Major Discovery in Dorion Cairns's Revision of Edmund Husserl's 'Fifth Cartesian Meditation,'" *The Continental Philosophy Review,* 39 (2006): 2.

(51) "The Other of the Phenomenological Tradition." In *Identity and Alterity: Phenomenology and Cultural Traditions,* edited by Lau kwok-ying and Cheung Chan-fai, Verlag Koenigshausen & Neumann, expected for 2009.

(52) "Wisdom more than Knowledge and more than Loved: Dorion Cairns's Revision of Husserl's Philosophic Ideal," to be published by Hong Kong center

(53) "The Continuous Awareness of Universals," probably published in volume from PEACE meeting in Tokyo.]

(54) "My Greatest Lesson from the New School," to be published in volume on the Golden Age of Phenomenology at the New School for Social Research, probably 2009.

(55) "The Vocation of Dorion Cairns," to be published in volume on the Golden Age of Phenomenology at the New School for Social Research, probably 2009.

(56) "The Impression of Causality: Merleau-Ponty on Michotte," Portuguese trans. "Visão de Causalidade: Merleau-Ponty em Michotte," *Revista da Apordagem Gestáltica*, vol. XIII, Nr. 2, July/December 2007: 222–227 and English original forthcoming in *Chiasmi International*.

(57) "Some Philosophical Differences Within a Friendship: Gurwitsch and Schutz." In *Alfred Schutz and his Intellectual Partners*, , edited by Nasu, Hisashi, Lester Embree, George Psathas, and Ilja Srubar. Konstanz: Universitaetsverlag Konstanz, expected 2009.

(58) "Dorion Cairns, Alfred Schutz, and the Egological Reduction." In *Alfred Schutz and his Intellectual Partners,* edited by Nasu Hisashi, Lester Embree, George Psathas, and Ilja Srubar. Konstanz: Universitaetsverlag Konstanz, expected 2009.

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(60) "When does the End *not* justify the Means?" In Lester Embree, *Environment, Technology, Justification,* 155–161. Bucharest: Zeta Books, 2008.

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(62) "Constructs for Political Identity," *Journal of Phenomenological Psychology*, 40 (2009): 127–139.

4. Book Reviews

(1) Review of *Freedom and Nature*, by Paul Ricoeur. *Social Research* 35 (1968): 565–570.
(2) Review of *Principles of Psychology*, by William James. *Philosophy and Phenomenological Research* 64 (1983): 124–126.
(3) Review of *The Life of David Hume*, 2nd edn., edited by E. C. Mossner. *International Studies in Philosophy*, 111–112.
(4) Review of *Ideas Pertaining to a Pure Phenomenology and Phenomenological Philosophy, First Book*, by Edmund Husserl, translated by Fred Kersten. *Philosophy and Phenomenological Research* 46 (1985): 348–349.
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     <http:ndpr.icaap.org/content/archives/2003/11/embree-mohanty.html>

5. Translations

a. Books

(1) Translation, with E. G. Ballard, of *Husserl: An Analysis of His Phenomenology*, by Paul Ricoeur. Evanston: Northwestern University Press, 1967. xxii & 238 pp.
(2) Translation of *A Study of Husserl's "Formal and Transcendental Logic,"* by Suzanne Bachelard. Evanston: Northwestern University Press, 1969. xvi & 227 pp.

b. Essays Translated

(1) Translation of "Vision and Being in the Last Lectures of Merleau-Ponty," by Alexandre Métraux. In *Life-World and Consciousness, Essays for Aron Gurwitsch*, edited by Lester Embree, 323–336. Evanston: Northwestern University Press, 1972.
(2) Translation of "Reflection on Logic and Mathematics." In Aron Gurwitsch, *Phenomenology and the Theory of Science*, edited by Lester Embree, 60–76. Evanston: Northwestern University Press, 1974.
(3) Translation of "France," by Jean-Francois Courtine. In *The Encyclopedia of Phenomenology*, edited by Lester Embree et al., 247–251. Dordrecht: Kluwer Academic Publishers, 1997.
(4) Translation of "Language after Husserl" and "Language in Husserl," by Arion L. Kelkel. In *The Encyclopedia of Phenomenology*, edited by Lester Embree et al., 394–407. Dordrecht: Kluwer Academic Publishers, 1997.

IV. SERVICE

A. *Professional Involvements*

Center for Advanced Research in Phenomenology, Inc.:
Founding Member and Director since 1971
Secretary 1980–1984
President 1984–2005
Vice President 2005–
Treasurer, 2006–
Chairman of the Editorial Board, Series in Continental Thought Sponsored at Ohio University Press, 1978–1984; member thereafter.
Chairman of the Editorial Board, Current Continental Research, Co-published with University Press of America, 1981–1997.
Editorial Board, Contributions to Phenomenology, Springer Verlag (formerly Kluwer Academic Publishers), 1988

B. *Boards other than CARP related*

Editorial Board member of *Research in Phenomenology* since 1970.
Editorial Board of *Human Studies* since 1987.
Editorial Board of Series in Phenomenology and Existential
Philosophy, Northwestern University Press since 1988.
Editorial Board of *Bunku to Shakai* (Japan) since 1996.
Editorial Board of *Pondicherry University Journal of Social Sciences and Humanities* (India) since 2000.
Comite Scientifico of *Investigaciones Fenomenologicas* (Spain) since 2001.
Consulting Editor for Noesis Press and *The New Yearbook for Phenomenology and Phenomenological Philosophy* since 2001.
Advisory Board of *Phenomenology and Cognitive Science* since 2001.
Overseas Advisory Board, Phenomenology Research Center at Peking University since 2001.
Consejo de Redacción, *Investigaciones Fenomenológicas Anuario de la Sociedad Española de Fenomenología,* since 2001.
Conselho editorial, *Phainomenon*: Revista de Fenomenologia do Centro de Filosofia da Universidade de Lisbon since 2001.
Socio, Circulo Latinamericano de Fenomenologia, since 2002.
Advisory Board, Orbis Phaenomenologicus (Koenigshausen & Neumann, Würzburg), since 2002.
Organizing Committee, Central and Eastern European Conference on Phenomenology, since 2003.

Advisory Committee of Editorial Board of *Journal of Phenomenology and the Human Sciences*, Research Center for Phenomenology and the Human Sciences, The Chinese University of Hong Kong, since 2002.

Internationalier Wissenschaftsbeirat, Institut für Axiologische Forschungen, Kaltenleutgeben, Österreich, since 2003.

Executive Committee, Organization of Phenomenological Organizations, 2003–

Honorary Advisor, Archive for Phenomenology & Contemporary Philosophy, The Chinese Unversity of Hong Kong, since 2005.

Editorial Board of Studia Universitis Babes-Bolyai, Series Philosophia, Cluj-Napoca, Roumania, since 2005.

Editorial Board, Pathways in Phenomenology series, Zeta Books, since 2006.

Co-Editor, "Post Scriptum – O.P.O., from 2007.

Associate Editor, *Schutzian Research*, from 2007.

Editorial Board, *Indo-Pacific Journal of Phenomenology,* from 2008.

Advisory Board, *Environment, Space, and Place,* from 2008.

Editor in Chief, *Pheomenological Workshop Texts,* from 2008.

C. Societies, etc.

Society for Phenomenology and Existential Philosophy, Member since 1968.

Husserl Circle, Member since 1969 & Coordinator 1977–1978 & 1993–1994.

American Philosophical Association, Member since 1970, Committee on Use of Computers in Philosophy 1988–1993 & Eastern Division Program Committee, 1988–1991.

Merleau-Ponty Circle, Member since 1974, Coordinator 1977–1978, & Board of Advisors since 1983.

Society for the Study of the History of Philosophy, Member since 1974.

Collegium Phaenomenologicum, Perugia, Italy, Organizational Board since 1975.

Society for Phenomenology in the Human Sciences, Member since 1979 & Executive Committee 1979–1985 & 2005–

Metaphysical Society of America, Elected Member 1983–1993.

Philosophy of Science Association, Member since 1984.

Society for Philosophy and Technology, Member since 1986.

Center for Philosophy of Science, University of Pittsburgh, Associate 1986–1993.

Society of Philosophers in America, Founding Fellow, since 1987.

Phi Kappa Phi since 1991.

Deutsche Gesellschaft für Phänomenologische Forschung, member since 1995.

Indian Society for Phenomenological Studies, Life Member from 2002.

Council of Social Science Archive Konstanz since 2007.

Fellow, International Communicology Institute, from 2008.

D. Listings

The Directory of American Scholars (United States)
Men of Achievement (England)
Who's Who in the East
Who's Who in American Education
The International Who's Who in Education
Who's Who in the South and the Southwest
Who's Who in the World
The Directory of Environmental Ethics

E. Presentations

(1) "Reflection on the Ego," Symposium on the Phenomenology of the Ego, Society for Phenomenology and Existential Philosophy, Evanston, Fall 1969 (published).

(2) "Of the Humean Word *Perception,*" Colloquium Series of the Department of Philosophy, Northern Illinois University, Spring 1970.

(3) "Comments on the Paper of David Carr," Husserl Circle, New Orleans, Spring 1971.

(4) "Reflection on Planned Operations," Colloquium Series of the Department of Philosophy, Northern Illinois University, and Symposium on Alfred Schutz, Society for Phenomenology and Existential Philosophy, Pittsburgh, Fall 1972 (published).

(5) "Some Results of Cairns's Investigations on the Affective and Conative," Cairns Memorial Symposium, Husserl Circle, Spring 1973 (Published).

(6) "Comments on the Paper of Alexandre Métraux," Society for Phenomenology and Existential Philosophy, Boston, Fall 1973.

(7) "Response to the Paper of Richard Zaner," Husserl Circle, Waterloo, Ontario, Spring 1973.

(8) "Gurwitsch's Theory of Logic," Symposium in Memory of Aron Gurwitsch, Graduate Faculty of Political and Social Science, The New School for Social Research, Spring 1974 (published).

(9) "Everyday Social Relevancy in Gurwitsch and Schutz," Conference on Alfred Schutz and the Idea of Everydayness in the Social Sciences, Universität Konstanz, Summer 1974 (published).

(10) "The Phenomenology of Speech in the Early William James," Duquesne University, Fall1974, Cleveland State University, University of Waterloo, and Society for the Study of the History of Philosophy, New Orleans, Spring 1976 (published).

(11) "The Varieties of Assurance in Hume's *Treatise*," McGill Bicentennial Hume Conference, Montreal, Fall 1976.

(12) "Materials for a Biographical Sketch of Maurice Merleau-Ponty," Merleau-Ponty Circle, Akron, Fall 1976.

(13) "Gestalt Law in Phenomenological Perspective," Colloquium at SUNY Binghamton, Spring1977 (published).

(14) "Consocial Perception: Digging beneath Schutz," Schutz Section, World Congress of Sociology, Upsala, Sweden, Summer 1978 (read in absentia).

(15) "Emics and Etics Phenomenologically Examined," Society for Phenomenology and Existential Philosophy, Pittsburgh, Fall 1978.

(16) "Merleau-Ponty's Examination of Gestalt Psychology," Society for the Study of the History of Philosophy, with Eastern Division of American Philosophical Association, Washington, D.C., Winter 1978 (published).

(17) "Gurwitsch's Theory of the Human Sciences," Gurwitsch Memorial Lecture, Graduate Faculty, The New School, Spring 1979 and Graduate Student Philosophy Club, Duquesne University, Fall 1979.

(18) "Outlines of a Constitutive Phenomenology of Practical Life," Colloquium Series of Department of Philosophy, SUNY Stony Brook, Spring 1979.

(19) "Values are Out There," Comments on the Paper of Bernd Jager, American Society for Value Inquiry, with Western Division of APA, Denver, Spring 1979.

(20) "Preliminary Report on Study of Cognitive Anthropology," Seminar in History of Anthropological Theory, University of Pittsburgh, Spring 1979.

(21) "The New Philosophy of Science and the New Archaeology," Symposium on the History of Archaeology, Society for American Archaeology, Vancouver, Spring 1979.

(22) "Comment on the Paper of Richard Zaner," Husserl Circle, New Orleans, Spring 1979.

(23) "Gurwitsch's Critique of Merleau-Ponty," *collegium phaenomenologicum* (read in absentia), Perugia, Italy, Summer 1979 (published).

(24) "Methodology is where Human Scientists and Philosophers can Meet," Workshop on the Schutz-Parsons Correspondence held in Memory of Talcott Parsons, Society for Phenomenology and Existential Philosophy, Purdue University, November 1979 (published).

(25) "Status of Sociohistorical Study of Cognitive Anthropology," Symposium on New Directions in Cognitive Anthropology, American Anthropological Association, Washington, D.C., December 1980.

(26) "The History and Phenomenology of Science is Possible," Conference on Phenomenology and the Understanding of Human Destiny, College of Holy Cross, April 1981 (published).

(27) "Consocial Life in Gurwitsch and Schutz," Conference on Phänomenologie und Sozialwissenschaft, Universität Bielefeld, June 1981.

(28) "The *Principles* as Metaphysics of Psychology," in double session on "The Philosophical Significance of The *Principles of Psychology* of William James," Society for the Study of the History of Philosophy, with Eastern Division of American Philosophical Association, Philadelphia, December 1981 (published).

(29) "Introduction to Session" and "Accessing the Non-Verbal" in session entitled "Video-phenomenology: Technology for Research and Demonstration," Society for Phenomenology and the Human Sciences, Evanston, October 1981.

(30) "Archaeology as a Human Science," PSU/CARP Summer Program in Phenomenology, University Park, PA, July 1982.

(31) "Archaeology without a Capital P," Symposium on Prospects for a Philosophy of Archaeology, Society for American Archaeology, Pittsburgh, April 1983 (published).

(32) "The Psychology and Sociology of Science in Schutz," Husserl Circle, Emory University, June 1983. (Paper accepted but not read due to illness; revised version is #39 below.)

(33) "Do I Know Enough about the 'Coganths' to Get Along in their Society?" Conference on Folk Models, Institute for Advanced Study, Princeton, May 1983.

(34) "The Idea of a Phenomenology of the Imperative," Departmental Colloquia at Duquesne University, Ohio University, and Miami University and Husserl Circle meeting at Victoria University, Toronto, Spring 1984.

(35) "Interpretation and Cultural Perception," Symposium on E. G. Ballard's *Principles of Interpretation*, Society for Phenomenology and Existential Philosophy, Atlanta, October 1984.

(36) "Teleology in Human-Scientific and Natural-Scientific Psychology and Psychotechnics," Conference on Teleology in Natural Science, Center for Philosophy of Science of the University of Pittsburgh, December 1984 (published).

(37) "Phenomenology of Deliberation and Decision," Inter-American Conference, Society of Philosophers in America, Mayaguez, Puerto Rico, February 1985.

(38) "The Contentual Unity of the Human Sciences," Planning Conference for Institute for the Human Sciences, Ohio University, June 1985.

(39) "Schutz on Science: Sociology, Psychology, Methodology," Husserl Circle, University of Ottawa, July 1985 (published).

(40) "As the Twig is Bent, So Grows the Philosophical Ontology of Archaeology," Theoretical Archaeology Group, Glasgow University, December 1985.

(41) "The Most Basic Science in the World (i.e. Archaeology)," Seminar on Formal Methods, St. John's College, Cambridge University, December 1985 (published).

(42) "Introduction to Conference," Worldly Phenomenology: The Continuing Influence of Alfred Schutz on North American Human Science, Institute for the Human Sciences, Ohio University, June 1986.

(43) "Phenomenology of a Change in Archaeological Observation," Symposium on Theoretical Archeology, Boston Colloquium in the Philosophy of Science, March 1987 (published).

(44) "Contacting the American Theoretical Archeologists," Associates Conference, University of Pittsburgh Center for Philosophy of Science, March 1987, and

Conference on Method and Theory in the History of Archaeology, Southern Illinois University, May 1987 (published).

(45) "Human Scientific Propositions," Conference on Phenomenology and Indian Philosophy sponsored by CARP and the Indian Council for Philosophical Research, New Delhi, January 1988 (published).

(46) "The History and Philosophy of Archeology," National Institute of Science, Technology, and Development Studies, New Delhi, January 1988.

(47) "The Seven Steps of Husserl's Method," Seminar on Husserl's *Ideen I*, Vanderbilt University, April 1988.

(48) "Speculation on Cliotechnics," McVean Visiting Lecturer, Department of Philosophy, Vanderbilt University, April 1988.

(49) "Scientific Technological Rationality," Conference on Phenomenology of Natural Science, Summer Program in Phenomenology, The Pennsylvania State University, May 1988 (published).

(50) "A Representation of Edmund Husserl (1859–1938)" (videotape), Husserl Circle, Wilfred Laurier University, June 1988 (available through the Center for Advanced Research in Phenomenology, Inc.). Made available in DVD in Fall 2003.

(51) "Was American Theoretical Archeology influenced by Walter Taylor?" American Anthropological Association, Phoenix, November 1988.

(52) "Response to the Presentation of Hubert Dreyfus on 'Epiphenomenology,'" University of Waterloo, Canada, April 1989.

(53) "The Problem of Representational Adequacy," University of Waterloo, April 1989, of University of Jadavpur, October 1989, University of Poona, November 1989, and University of South Florida, February 1992.

(54) "An Excavation of Archeological Observation or How to Hunt Mammoth," Husserl Circle, Colorado State University, August 1989, and Philosophy Club, Florida Atlantic University, April1991 (published).

(55) "Deanimation," Japanese and Western Phenomenology, conference sponsored by Phenomenological Association of Japan and the Center for Advanced Research in Phenomenology, Sanda-City, October 1989.

(56) "Phenomenology in and of Human Science," University of Poona, November 1989.

(57) "The Outside and the Inside of Life in the Early William James," Universität Mainz, November 1989.

(58) "The Patterning of American Theoretical Archeology," American Anthropological Association, Washington, D.C., November 1989.

(59) "Comments on the Papers of Langsdorf and Barber," The Alfred Schutz Memorial Symposium, New School for Social Research, December 1989.

(60) "Responsible Technology, e.g., Housework," Arts, Humanities, and Social Sciences Seminar, Florida Atlantic University, September 1990 and Husserl Circle, Seattle, June 1991.

(61) "Phenomenology of Representational Awareness," 11th Annual Lecture in Memory of Aron Gurwitsch, sponsored by CARP in conjunction with SPEP and SPHS, October 1990 (published).

(62) "Some Noetic-Noematic Analyses of Action and Practical Life," CARP/FAU Research Symposium on Phenomenology of the Noema, Delray Beach, 1991 (published).

(63) Remarks at Environmental Initiative Second Conference, Florida Atlantic University, Boca Raton, June 1991.

(64) "What Value Theory Needs is a Few Good Women," Institute for Applied Philosophy, Boca Raton, October 1991.

(65) "How to Use a Spear Thrower," Gurwitsch Memorial Conference, The New School, New York, and Emory University, November 1991 (published).

(66) "Electric Vehicles in the Striving for Wisdom," Eminent Scholar Lecture, FAU, January 1992.

(67) "The Wild Lifeworld," Society for the Study of Husserl's Thought, University of Southern California, February 1992.

(68) "Cultural Disciplines in Phenomenological Perspective," CARP/FAU Research Symposium on Phenomenology of the Cultural Disciplines, Delray Beach, May 1992 (published).

(69) "The Phenomenology of Electric Vehicle Technology," Husserl Circle, Waterloo, Ontario, August 1992 (read in absentia).

(70) "The Value of Nature in Phenomenological Perspective," Florida Philosophical Association, October 1992 (published).

(71) "Green Morality and You," Institute for Applied Philosophy, Boca Raton, October 1992.

(72) "Advances Concerning Evaluation and Action in Husserl's *Ideas II,*" CARP/ FAU Research Symposium, Delray Beach, May 1993 (published).

(73) "How is Phenomenology?" Husserl Circle, Chicago, June 1993.

(74) "The Phenomenological Problem of Non-Relativity or How We Can Dump Garbage in Nobody's Backyard," Florida Philosophical Association, Tampa, November 1993 (published).

(75) "Is the Unenvironmental Life Worth Living?" Fellowship of Religious Humanists, Boca Raton, September 1993.

(76) "Axiotechnics or Ought One to Hang Bat Houses?" in FAU/CARP Research Symposium on the Phenomenology of Values and Valuings, Delray Beach, May 1994.

(77) "A Phenomenological 'Explanation' of Ethnicity," Husserl Circle, Delray Beach, May 1994.

(78) "The Phenomenological Teaching of Dorion Cairns," in Tagung Antworten auf Edmund Husserls Freiburger Phänomenologie, Deutschen Gesellschaft für phänomenologische Forschung, Freiburg i. Br., October 1994 and University of Memphis, October 1995 (published in German).

(79) "Euro-American Ethnophobia, e.g., Irish American, in Phenomenological Perspective," Founding Meeting, Back to the Things Themselves Society, University of New Hampshire, March 1995 (published).

(80) "Introduction" to Graduate Faculty, New School/CARP Research Symposium on "Alfred Schutz's 'Sociological Aspect of Literature,'" New York, April 1995 (published).

(81) "The Non-Worldly Grounding of Environmentalism," FAU Philosophy Club & Student Environmental Coalition, February 1995, FAU Research Symposium on "Environmental Ethics and Metaphysics," Delray Beach, June 1995, and Conference on Environmental Ethics the Changing Conception of Nature, Korean Institute for Science and Technology, Tejon, South Korea, January 1998 (published), and National Sun Yat-Sen University, Kaohsiung, Taiwan, September 2006.

(82) "Personal Environmental Phenomenology," Society for Phenomenology and Existential Philosophy, Chicago, October 1995.

(83) "Indicational Awareness," Society for the Study of Husserl's Thought (meeting with American Philosophical Association), New York, December 1995.

(84) "The Phenomenological Movement," FAU Student Philosophy Club, Boca Raton, February1996 and also at Hong Kong meeting, April 1996.

(85) "The Constitution of Polite Fictions," Phenomenology and Interculturality, Hong Kong, April 1996 and Husserl Circle, Arlington, Texas, June 1996 (published).

(86) "There is no Naturalistic *epochē*, Reduction, and Purification," Tokyo University, April 1996 (published).

(87) "A Problem in Alfred Schutz's Methodology of the Cultural Sciences," Waseda University, Tokyo and Kyoto Universities, April 1996 (published in Japanese).

(88) "Think Globally, Act Locally," Jiyu Gakuen Myonichikan, Tokyo, April 1996.

(89) "An Environmental Phenomenological Examination of Electric Vehicle Technology," FAU/CARP Research Symposium on the Philosophy of the Environment and Technology, Delray Beach, November 1997 (published).

(90) "The Category of Attitude in the Phenomenology of Culture, e.g., Toward the Environment," Korean Advanced Institute for Science and Technology, Tejon, South Korea; Korean Society for Phenomenology, Seoul; The Merleau-Ponty Circle of Taiwan, Teipei, Taiwan; Department of Philosophy, Chinese University of Hong Kong; and Husserl Circle meeting at University of Louisville in January-February 1998.

(91) "Personal Environmentalism," Korean Institute for Science and Technology, Tejon, South Korea, January 1998.

(92) "Alfred Schutz on Barriers to Equality of Opportunity" at Department of Sociology, Musashi University, Tokyo, and at The Hong Kong Society for Phenomenology, Hong Kong, February 1998.

(93) "The Place for Phenomenology in Nursing Research" at the College of Nursing of the National Defense Medical Center of Taiwan, Taipei, February 1998.

(94) "The Constitution of Qi in Traditional Chinese Medicine: A Phenomenological Hypothesis," Japanese and Western Phenomenology Conference, Denver, October, 1998 (published).

(95) "Schutz on the Cultural World," Waseda Schutz Centennial conference, March 1999.

(96) "A Schutzian Theory of History," Konstanz Schutz Centennial conference, May 1999.

(97) "Gurwitsch's Theory of Psychology," Merleau-Ponty Circle, North East Wales Institute, August 1999 (published).

(98) "Presentation of Video: 'Alfred Schutz: Philosopher of Social Science in the 20th Century'" at Waseda (March 1999) and Konstanz (May 1999) Schutz centennials; XIV Congreso Interamericano de Filosofia, Puebla (August 1999); Rio de Janeiro, September 1999; and "Society for Phenomenology in the Human Sciences," Eugene, Oregon, October 1999.

(99) "The Continuation of Phenomenology: A Fifth Stage?" XIV Congreso Interamericano de Philosophia, Puebla, México (August 1999), the Pontificia Universidad Católica del Peru in Lima, Peru and the Tenth Annual Conference of Phenomenology and Hermeneutics, Centro de Estudios Filosofia México Eugenio Pucciarelli, Buenos Aires, Argentina (September 1999) (published in Spanish and English).

(100) "Schutz on Groups: The Concrete Meaning Structure of the Socio-Historical World," XIV Congreso Interamericano de Philosophia, Puebla, Mexico (August 1999), Area de Epistemologiay Estudios/Philosophicos de la Accion, Universidad de Buenos Aires, and Seminario de Alfred Schutz, Escola de Enfermagen de UNIRIO, Rio de Janero (September 1999) (published in Spanish).

(101) "Introduction to Session," 'The Roots of the Phenomenology of Ethnicity,'" Society for Phenomenology and Existential Philosophy, Eugene, Oregon (October 1999).

(102) "The Appeal of Alfred Schutz beyond Philosophy," Society for Phenomenology in the Human Sciences, Eugene, Oregon (October 1999) and Eastern Sociological Society, Baltimore, Maryland (March 2000) (published in English, Gallego, and Japanese).

(103) "The Development of WWW.PHENOMENOLOGYCENTER.ORG, the Mother of All Phenomenological Websites," Society for Phenomenology and Media, National University, La Jolla, California (February 2000) (published).

(104) "Encountering the Environment," British Society for Phenomenology, St. Edmund's Hall, Oxford, UK (April 2000) and Philosophisches Seminar I, Universität Mainz, Mainz, Germany (May 2000).

(105) "The Constitution of Basic Culture," British Society for Phenomenology: International Conference on Phenomenology and Culture, University of Cork, July 2000; V. Congreso de Fenomenologia, Sevilla, November 2000; and "The Future of Phenomenology/ 100 Years of Phenomenological Inquiry," Olomouc, November 2000 (published).

(106) Two Questions relating to J.N. Mohanty's *Phenomenology between Essentialism and Transcendental Philosophy*," 4th International Research Conference in Asian & Comparative Philosophy, University of Missouri-Columbia, September 2000.

(107) "The Possibility of a Constitutive Phenomenology of the Environment," Husserl Archive, Catholic University Leuven, Belgium, October 2000 and as "La posibilidad de una fenomenologia constitutiva del medio ambiente" at

the Sociadad Española de Fenomenologia, Madrid, Universidade de Santiago de Compostela, March 2001, and Universidad de Salamanca, October 2001 (published in English and to be published in Castellano.)

(108)   "Phenomenology of the Consocial Situation: Advancing the Problems," University College Dublin, Ireland, October 2000; International Phenomenology Conference, Hong Kong (November 2000); and Waseda University, Tokyo, November 2000 (published).

(109)   "The Problem of the Constitution of the Vegetable," Husserl Circle, Bloomington, February 2001 and International Conference on the Phenomenon of Life, Freiburg, Germany, July 2001 (published in German and English).

(110)   "Becoming a Phenomenologist Today," Phenomenology in the Nordic Countries, Copenhagen, May 2001.

(111)   "El Examein de las actitudes," Department of Philosophy, Universidade de Santiago de Compostela," March 2000.

(112)   "La metodologia es el punto de encuentro de cientificos humanos y filosofos," Universidad de Murcia, Universidad de Madrid de Educacion a Distancia, and Universidad de Santiago de Compostela, March 2001; already published in English in 1990.

(113)   "Reflection on Others," Phenomenology and Chinese Culture and the Centenary of Edmund Husserl's Logical Investigations, Peking University, Beijing, October 2001, and conference at Saint Petersburg, Russia 2005 (published).

(114)   "Some Schutzian Theory of History Illustrated from the Women's Liberation Movement," Alfred Schutz Memorial Lecture, Society for Phenomenology and the Human Sciences, Baltimore, October 2001 (published).

(115)   "Las colegas como objetos culturales básicos, "Dimensiones de la Razón Práctica," Universidad Nacional de Educacion a Distancia. Madrid, November 2000 (published).

(116)   "Encountering Status and Stratification," Founding Conference of Central and Eastern European Conference of Phenomenology, Cluj-Napoca, Romania, March, 2002, publisher being sought; Founding Conference of Indian Society for Phenomenological Studies, Chennai, India, June, 2002, and Husserl Circle, July, 2002 (shortened version published).

(117)   "Reflective Analysis in and on Social Psychology: A Model for Interdisciplinary Phenomenology" Phenomenology and the Human Pathos, Inaugural Conference for the Research Center for Phenomenology and the Human Sciences, The Chinese University of Hong Kong, September 2002 and Issues confronting the Post-European World (Founding Conference for the Organization of Phenomenological Organizations), Prague, November 2002 (published).

(118)   "Indirect Action Reflectively Analyzed," *Technology, Nature, and Life*, Korean Society for Phenomenology and Center for Advanced Research in Phenomenology, Seoul, October 2002.

(119)   "Explicit and Implicit Postulates in the Theory of Science of Alfred Schutz," Planning Conference for "Alfred Schutz and his Intellectual Partners (2004)" at Waseda University, Tokyo, March, 2003.

(120) "Dimensions of the Lifeworld," International Conference on Phenomenology of [the] Human Condition, Bangalore, India, July 2003.

(121) "Phenomenology Today," Dharmaram Vida Kshetram College, Bangalore, India, July 2003.

(122) "How I Became Involved in Phenomenology," Inaugural Lecture for Outside Speakers, DePaul Seminary, Bangalore, India, July 2003.

(123) "Project of a Phenomenological Theory of Primate Ethology," Everydayness, Language, Communication, Second Central and Eastern European Conference on Phenomenology, Minsk, 10–12 October 2003 (to be published).

(124) "Tolerance Reflective Analyzed," XV Inter-American Cogress of Philosophy, Lima, January 2004 (published).

(125) "Presentacion del Libro de Antonio Zirion," XV Inter-American Cogress of Philosophy, Lima, January 2004.

(126) "Some Philosophical Differences within a Friendship: Gurwitsch and Schutz," in International Conference on Alfred Schutz and his Intellectual Partners, Waseda University, April 2004 (to be published).

(127) "Some Reflective Analysis of Emailing," Universidade de Lisboa, May 2004.

(128) "My Scientific Tradition and the Other One," Phenomenology in East Asia CirclE (PEACE), Founding Conference, Chinese University of Hong Kong, May 2004 (to be published).

(129) "The Intrinsic and Existrinsic Existence of What is Traveled in Traveling, Reflectively Analyzed," Husserl Circle, Washington, D.C., June 2004 (to be published).

(130) "Truck Watching: The Where and When of Visual and Auditory Appearances," Second Korean-American Conference, Memphis, October 2004 (published).

(131) "Remarks on the Contributions of NASU, Hisashi," Society for Phenomenology and the Human Sciences, Memphis, October 2004.

(132) "The Examination of Extremely Negative Valuation," Subjectivity, Intentionality, Evil, Third Conference of the Central and Eastern European Conference of Phenomenology, Warszawa, November 2004. (To be published) and National Dong Hwa University, Hauling, Taiwan, September 2006.

(133) "Phenomenology's Possible Contribution to Professional Ethics," Centrul de Cercetări Aplicate în Fenomenologie, Cluj-Napoca, Romania, December 2004.

(134) "Building Up to Animism: A Sketch of Major Discovery and Methodology in Dorion Cairns's Revision of Edmund Husserl's "*V. Cartesianische Meditation*," Husserl Circle, Dublin, June 2005 (to be published).

(135) "Restoring a Phenomenological Frontier," Organization of Phenomenological Organizations II, Lima, Peru, August 2005 and Soochow University, Taipei, Taiwan, September 2006 (to be published in Chinese and English).

(136) "Reflection on Others," Conference on Russia and the Phenomenological Tradition," St Petersburg, Russia, September, 2005 (published).

(137) "When is a Cultural Discipline Phenomenological? A Schutzian Answer with Psychiatry as the Example," Society for Phenomenology and the Human Sciences, Salt Lake City, October 2005.

(138) "Schutz and Seebohm," Society for Phenomenology and Existential Philosophy, Salt Lake City, October 2005 (to be published in Porguguese).

(139) "Some Postulates for Economics in Alfred Schutz," Southern Economic Society, Washington, D.C., November 2005 (to be published).

(140) "David Hume's Treatise of Human Nature In the Light of Phenomenological Hermeneutics," Phenomenology and History of Philosophy, Inaugural Conference of Archive for Phenomenology & Contemporary Philosophy, Chinese University of Hong Kong, January 2006 (to be published).

(141) "Wisdom more than Knowledge and more than Loved: Dorion Cairns's Revision of Husserl's Philosophic Ideal," *Ten Years of Phenomenology in Hong Kong*, May 2006 (to be published).

(142) "Globalization and the Organization of Phenomenological Organizations," Soochow University, Taiwan, September, 2006.

(143) "The Continuous Awareness of Universals," Phenomenology in East Asian CirclE, Tokyo, September 2006.

(144) "Intra-Culturality: Explications from Schutz," Session on New Schutzian Analyses, Society for Phenomenology and the Human Sciences, Philadelphia, October 2006.

(145) "The Nature and Role of Phenomenological Psychology in Alfred Schutz," The Future of Applied Phenomenology, Second Conference of Phenomenology as Bridge between Asia and the West, Seoul, February 2007 and Human Science Research Conference, Ramapo College of New Jersey, June 2008 (to be published).

(146) "The Vocation of Dorion Cairns," The Golden Age of Phenomenology at the New School for Social Research, New York, March 2007 (to be published).

(147) "My Greatest Lesson from the New School," The Golden Age of Phenomenology at the New School for Social Research, New York, March 2007 (to be published).

(148) "When does the End *not* justify the Means?," Husserl Circle, Prague, April 2007 (published).

(149) "Notes on the Future and Past of our Tradition/ Notes sur le future et le passé de notre tradition," Rete Euromediterranea di Fenomenologia per il Dialogo خلال ندوة جمعة تأسيس هذه المنظمة بنابولي في جوان 2007 Intercultural Naples, June 2007. باحثا من ضضتفي البحر الأبيض المتوسط والبحر الأسود 65.

(150) "For a Schutzian Theory of Nursing," Rio de Janeiro, August 2007 and Taipei, November 2007.

(151) "Introduccion a la Mesa acerca del quinto estadio de la fenomenologia," IV Coloquio Latinamericano de Fenomenologia, Bogotá, September 2007 (to be published).

(152) "Intra-Culturalidad" (#144 to be presented now in Castilian) IV. Coloquio Latinamericano de Fenomenologia, Bogotá, September 2007 (to be published).

(153) "Schutz's Interpretationism?" Alfred Schutz und die Hermeneutik, Wien, September 2007 (to be published).

(154) "Project on Phenomenological Nursing" at Nursing School, Kaohsiung Medical University in Kaohsiung, Taiwan, October 2007; (155) "Category of Attitude in the Phenomenology of Culture," Institute of Ethnology, Academica Sinica, Taipei, Taiwan, October 2007; "Project on Phenomenological Nursing" and "Category of Attitude in the Phenomenology of Culture" at School of Nursing, National Yang Ming University, Taipei, Taiwan, October 2007; "Category of Attitude in the Phenomenology of Culture," Taiwan Society for Interdisciplinary Phenomenology, " meeting at Institute of Ethnology, Academica Sinica, Taipei, Taiwan, October 2007; and "The Category of Attitude in the Phenomenology of Culture," Portuguese Association for Phenomenological Philosophy (AFFEN) and the Brazilian Society of Phenomenology (SBF), Lisboa, December, 2007 (to be published); Universidad Michoacana, Morelia, Mexico, August, 2008.

(156) "Taiwan for Example," lecture series, Morelia, August 2008 (to be published).

(157) "Objects Inside and Outside the Body according to the Papers of Dorion Cairns" in conference "Merleau-Ponty Lives On," Universidad Michoacana, Morelia, Mexico, September, 2008 and in conference "Corporeity and Affectivity, V. Central and Easter European Conferences on Phenomenology and Faculty of Humanities, Charles University, Czech Republic, September 2008.

(158) "Extremely Bad Things: Some Reflective Analysis of Valuation" in conference "Reflection and Practice," Bodo University College, Norway and Archiv Husserl, Universität Köln, September, 2008.

(159) "Zoon Logon Ekhon," Vilnius University, Vilnius, Lithuania, September 2008.

(160) "From Common Sense to Cultural Science and Back," XXI. Deutscher Kongress für Philosophie, Essen, Germany, September, 2008.

(161) "Phenomenological Nursing in Schutzian Perspective," Organization of Phenomenological Organizations III, Hong Kong, December, 2008.

(162) "Constructs for Political Identity," Interdisciplinary Coalition of North American Phenomenologists," Ramapo College of New Jersey, May 2009 (published).

(162) "Social Things in Literary Light," Konstanz Schutz conference, May 2009 (to be published).

(163) "Founding Some Practical Disciplines in Schutzian Social Psychology," Seoul National University, September 2009.

(164) "Interdisciplinarity within Phenomenology," Phenomenology in East Asia CirclE, Seoul, September 2009.

(165) "Alfred Schutz on Ideal Types," Conferece on Lebenswelt und Lebensform, Universität Erlangen, October 2009.

(165) "Sketch of a Schutzian Theory of Archaeology," Society for Phenomenology and the Human Sciences, Arlington, Va., October 2009.

(166) "Interdisciplinarity within Phenomenology," Sociedad Española de Fenomenologia, Segovia, Spain, November 2009.

F. Conferences and Sessions Organized

(1) Organizer and Moderator of "Symposium in Memory of Aron Gurwitsch," Society for Phenomenology and Existential Philosophy, Fall 1973 (published).

(2) Organizer of session on Gurwitsch in relation to Merleau-Ponty, collegium phaenomenologicum, Perugia, Italy, Summer 1979 (published).

(3) Organizer of "The Ballard Retrospective," Husserl Circle, Ohio University, Athens, Ohio, May 1980 (published).

(4) Organizer of double session on "The Philosophical Significance of *The Principles of Psychology* of William James," Society for the Study of the History of Philosophy, with Eastern Division of American Philosophical Association, Philadelphia, December 1981 (published).

(5) Organizer of double session on "Husserl's *Ideas I* in Historical Perspective," Society for the Study of the History of Philosophy and Center for Advanced Research in Phenomenology, with Western Division of American Philosophical Association, Chicago, April 1983 (published).

(6) Organizer for PSU/CARP of Conference on "Dilthey and Phenomenology," Summer Program in Phenomenology, University Park, PA, July 1983 (published).

(7) Organizer for PSU/CARP of Conference on "The Practice of Research in the Human Sciences," Summer Program in Phenomenology, University Park, PA, July 1984.

(8) Chair of Organizing Committee for NEH funded CARP Conference on "Phenomenology and the Formal Sciences," Center for Advanced Research in Phenomenology, co-sponsored by Duquesne University and University of Pittsburgh Center for Philosophy of Science, Pittsburgh, September 1985 (published).

(9) Organizer for CARP of "Worldly Phenomenology: The Continuing Influence of Alfred Schutz on North American Human Science," Athens Ohio, June 1986 (published).

(10) Chair of Organizing committee for CARP Conference on "Lifeworld and Technology," Pittsburgh, October 1987, co-sponsored by Duquesne University and Polytechnic University Center for Philosophy and Technology (published).

(11) Co-Chair of Organizing Committee for International Conference on Phenomenology and Indian Philosophy co-sponsored by CARP and the Indian Council of Philosophical Research, New Delhi, January 1988 (published in India and U.S.).

(12) Organizer of Research Conference on "Phenomenology of Natural Science," Summer Program in Phenomenology, co-sponsored by CARP and Department of Philosophy, The Pennsylvania State University, May 1988 (published).

(13) Organizer and Co-chair of Conference on "Phenomenology and Deconstruction" held by CARP in Conjunction with Central Division of American Philosophical Association, April 1989 (published).

(14) Co-organizer of International Conference entitled "Japanese and Western Phenomenology" co-sponsored by CARP and the Phenomenological Association of Japan, Sanda-city, October1989 (published).

(15) Organizer of CARP/FAU Research Symposium on "Phenomenology of the Noema," at Florida Atlantic University, Boca Raton, Florida, April 1991 (published).

(16) Organizer of Conference on "Review of Boca Raton Campus Island Ecosystem: What We Need to Know and Do," Environmental Initiative, Florida Atlantic University, Boca Raton, April 1992.

(17) Organizer of CARP/FAU Research Symposium on "Phenomenology of the Cultural Disciplines," at Florida Atlantic University, Boca Raton, May 1992 (published).

(18) Organizer of Conference on "Yes in Our own Back Yard: The Campus as Center for Environmental Research and Teaching," Florida Atlantic University, Boca Raton, October, 1992.

(19) Organizer of FAU/CARP Research Symposium on "Issues in Husserl's *Ideas II*," at Florida Atlantic University, Boca Raton, May 1993 (published).

(20) Co-organizer with Don Marietta of conference on "Environmental Philosophy and Environmental Action," May 1993 at Florida Atlantic University, Boca Raton (published).

(21) Co-organizer with James Hart of FAU/CARP research symposium on "The Phenomenology of Values & Valuing," Delray Beach, May 1994 (published).

(22) Co-organizer with Linda Fisher of FAU/CARP research symposium on "Feminist Phenomenology," Delray Beach, November 1994 (published).

(23) Organizer of New School/CARP Research Symposium on "Alfred Schutz's 'Sociological Aspects of Literature' (1955)," Graduate Faculty, New School for Social Research/ CARP, April1995 (published).

(24) Co-Organizer with Don Marietta of conference on "Environmental Ethics and Metaphysics," Delray Beach, June 1995.

(25) Co-organizer with John Brough of FAU/CARP Research Symposium on "More Phenomenology of Time," Delray Beach, November 1995 (published).

(26) Co-organizer with Kevin Thompson of FAU/CARP Research Symposium on "The Phenomenology of the Political," Delray Beach, October 1996 (published).

(27) Co-organizer with Marina Banchetti and Don Marietta of FAU Research Symposium on "The Philosophies of Environment and Technology," Delray Beach, November 1996 (published).

(28) Co-organizer with Dorothy Leland of FAU/CARP Research Symposium on "The Existential Phenomenology of Simone de Beauvoir," Delray Beach, May 1997 (published).

(29) Organizer of FAU/CARP Research Symposium on "Alfred Schutz's Theory of Social Science," Delray Beach, October 1998 (published).

(30) Organizer of Session on "Roots of the Phenomenology of Ethnicity" at Society for Phenomenology and Existential Philosophy, Eugene, Oregon, October 1999.

(31) Co-Organizer with Ted Toadvine of FAU/CARP Research Symposium on "Merleau-Ponty's Reading of Husserl," Delray Beach, November 1999 (published).

(32) Co-Organizer with Steven Crowell and Samuel J. Julian of FAU/CARP Research Symposium on "The Reach of Reflection: Issues for Phenomenology's Second Century," Delray Beach, January 2001 (published).

(33) Organizer of FAU/CARP Research Symposium on "Phenomenology as Bridge between Asia and the West," Delray Beach, May 2002.

(34) Organizer of FAU/CARP Research Symposium on "Gurwitsch's Relevance for Cognitive Science," Delray Beach, October 2002 (published).

(35) Organizer of Founding Meeting for Organization of Phenomenological Organizations, Prague, Center for Phenomenological Research, November 2002 (published).

(36) Co-Organizer of Second Meeting of Organization of Phenomenological Organizations, Lima, August 2005 (to be published as *Phenomenology 2005*).

(37) Organizer of session entitled "Schutz Continued" at Society for Phenomenology and the Human Sciences, Philadelphia, October 2006.

(38) Organizer with JUNG Hwa-Jol of CARP Research Symposium on Political Phenomenology, Memphis, December 2006.

(39) Co-organizer with LEE Nam-In of "The Future of Applied Phenomenology," Second Conference on Phenomenology as Bridge between Asia and the West, CARP and Phenomenology Korean Society for Phenomenology, Seoul, February 2007.

(40) Co-organizer with James Dodd of "The Golden Age of Phenomenology at the New School," CARP and Husserl Archives in Memory of Alfred Schutz at the New School for Social Research, New York, March 2007 (to be published).

(41) Organizer of Conference to Found the Interdisciplinary Coalition of North American Phenomenologists, Delray Beach, June 2008.

(42) Organizer of First Meeting of Interdiciplinary Coalition of North American Phenomenologist, Ramapo College of New Jersey, May 2009.

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