Epistemology, Archaeology, Ethics

Current Investigations of Husserl's Corpus

CONTINUUM ISSUES IN PHENOMENOLOGY AND HERMENEUTICS

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Edited by
Pol Vandevelde and Sebastian Luft

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Notes on Contributors

John Anders teaches philosophy at the University of Nevada at Las Vegas. He works mainly in ancient philosophy, the history of logic and the history and philosophy of science. He is the author of a paper on the Aristotelian work, *Mechanical Problems*, as well as several translations of works in the history of modern mathematics contained in *God Created the Integers* (Running Press, 2000).

Neal DeRoo teaches philosophy at Brock University in Canada. He is the co-editor of *Merleau-Ponty at the Limits of Art, Religion and Perception* (Continuum, 2010), *Cross and Khora: Deconstruction and Christianity in the Work of John D. Caputo* (Pickwick, 2009), *Phenomenology and Eschatology: Not Yet in the Now* (Ashgate, 2009), and *The Logic of Incarnation: James K. A. Smith's Critique of Postmodern Religion* (Pickwick, 2008).

Daniel Dwyer is assistant professor of philosophy at Xavier University in Cincinnati, OH. He specializes in twentieth-century Continental philosophy, Husserl, and phenomenology. He has published articles in journals such as *Continental Philosophy Review*, *Husserl Studies*, and *Idealistic Studies*.

Arun Iyer is PhD candidate and lecturer at Marquette University in Milwaukee, WI. His dissertation is on "Knowledge and Thought in Heidegger and Foucault: Towards an Epistemology of Ruptures." He has published several articles on phenomenology (Husserl, Heidegger, and Foucault) as well as in business ethics.

David Kasmier is an independent scholar living in Buffalo, NY. He specializes in phenomenology, epistemology, and a priori knowledge. He received his PhD from the University of Southern California in 2003 with his dissertation on "Husserl's Theory of A Priori Knowledge: A Response to the Failure of Contemporary Rationalism."

Adam Konopka is a post-doctoral teaching fellow at Fordham University (Bronx, NY) and specializes in phenomenology, environmental philosophy, and ethics. He is the author of several articles that develop a phenomenological approach to environmental issues.

Christian Lotz is an associate professor of philosophy at Michigan State University (East Lansing, MI). His major book publications are *From Affectivity to Subjectivity: Husserl's Phenomenology Revisited* (Palgrave, 2007) and *Vom Leib zum Selbst. Kritische Untersuchungen zu Husserl und Heidegger* (Alber, 2005). He has co-edited three books and is currently working on aesthetics and a philosophy of culture from a Continental perspective.

Sebastian Luft is associate professor of philosophy at Marquette University in Milwaukee, WI. His previous publications include *"Phänomenologie der Phänomenologie": Systematik und Methodologie der Phänomenologie in der Auseinandersetzung zwischen Husserl und Fink* (Kluwer, 2002). He is the editor of volume 34 of *Husserliana* and, with Rudolf A. Makkreel, of *Neo-Kantianism in Contemporary Philosophy* (Indiana University Press, 2009).

Dermot Moran is professor of philosophy at University College Dublin in Ireland. His books include: *The Philosophy of John Scottus Eriugena* (Cambridge, 1989), *Introduction to Phenomenology* (Routledge, 2000), *Edmund Husserl: Founder of Phenomenology* (Cambridge, 2005), and (ed.) *The Routledge Companion to Twentieth Century Philosophy* (Routledge, 2008). He is Founding Editor of *The International Journal of Philosophical Studies* and co-editor of the *Contributions to Phenomenology* series (Springer).

Luis Román Rabanaque is professor of philosophy at the Universidad Católica Argentina, Buenos Aires and member of CONICET. He specializes in Husserl's phenomenology of noema, body and language. He is the author of many articles in Spanish and English, among them: "Hyle, Genesis and Noema" (2003), "Why The Noema?" (2007), "Percept, Concept and the Stratification of Ideality" (2009).

Sonja Rinofner-Kreidl is professor of philosophy at the Karl-Franzens University Graz in Austria and specializes in phenomenology, philosophy of mind, ethics and social philosophy. She is the author of *Edmund Husserl. Zeitlichkeit und Intentionalität* (Alber, 2000) and *Mediane Phänomenologie. Subjektivität im Spannungsfeld von Naturalität und Kulturalität* (Königshausen

und Neumann, 2003). She presently acts as European Editor of *Husserl Studies*.

Carlos Alberto Sanchez is assistant professor of philosophy at San José State University, CA. He specializes in phenomenology, Latin American philosophy, and their encounter.

Margaret Steele is a PhD candidate and lecturer at Marquette University in Milwaukee, WI. She studies phenomenological and existential approaches to political philosophy, philosophy of race and feminism. Her doctoral research focuses on phenomenological and feminist accounts of embodiment.

Pol Vandevelde is professor of philosophy at Marquette University in Milwaukee, WI. He has published two books: *Être et Discours: La question du langage dans l'itinéraire de Heidegger (1927–1938)* (*Académie Royale de Belgique*, 1994) and *The Task of the Interpreter: Text, Meaning, and Negotiation* (University of Pittsburgh Press, 2005). In addition to editing three books he has translated four books by Husserl, Heidegger, and Apel into French and Rousselot into English.

Roberto J. Walton is professor of philosophy at the University of Buenos Aires in Argentina and specializes in theory of knowledge. He is the author of *Mundo, conciencia, temporalidad* (Buenos Aires, 1993) and *El fenómeno y sus configuraciones* (Buenos Aires, 1993).

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Introduction

Pol Vandevelde and Sebastian Luft

The volume offers a cross-section of Husserl studies today, manifesting the extent to which single themes in Husserl's corpus cannot be isolated, but have to be treated in their overlap and entanglement with other themes. The need for approaching the study of Husserl in this fashion finds much of its impetus from the ongoing publication of posthumous works in the *Husserliana*, works that shed new light on previous works and force scholars to revisit many of the accepted views. Husserl's "philosophy" has never been so much in flux as today, with positions that once seemed incontestable now finding themselves relegated to the status of one particular school of thought. The publication of the *Husserliana* should be completed within the next few years, which will allow scholars to reassess Husserl's thought and finally gain a comprehensive overview.

Among all the new trends and new approaches, the volume offers a representative sample of how Husserlian research has to be conducted given the state of the corpus as it stands now. The essays included in the volume were all presented as papers at the 38th Annual Meeting of the Husserl Circle held at Marquette University, June 26–29, 2008, organized by Sebastian Luft and Pol Vandevelde. They have been selected with the aims of the volume in mind and have been reviewed and rewritten for publication.

The volume is divided into an introduction and three parts, each part being dedicated to an area in Husserl studies that is gaining prominence due to new material and new scholarship. The first part is about epistemology (*Toward a Broadened Epistemology*). What we see in the current research in Husserlian epistemology is a revisiting of the question of what epistemology actually is or should be. After Kant, the metaphysics of knowledge very much fell in disrepute and epistemology became the name of a narrow field where specific issues were discussed, like the status of justification, the reliability of perception, the role of memory, and so on. Recent scholarship shows that Husserl gives us the means to question such a narrow approach to the problem of knowledge without sacrificing the specificity of epistemological issues. What is needed is to link the different aspects and topics that Husserl has examined. The result of such research is what can be called a broadened concept of epistemology.

The essays in this part deal with several aspects of Husserl's theory of knowledge that make Husserl's views compatible with current issues in epistemology and thus go beyond the traditional view that Husserl's position is about cognition in general (or more specifically, logical cognition) and not about the different components of an epistemology. Husserl offers an original angle to approach epistemological issues and forces a broadening of what epistemology is. The first three essays address the issues of epistemic justification (Carlos Sanchez), the relationship between intuition and concepts through free variation (David Kasmier), and the mediation between the physical and the mental realm through the body (Luis Rabanaque). The last two essays treat two aspects of Husserl's overall epistemology: how it avoids the naturalization of consciousness (Daniel Dwyer) and how it can claim to be an idealism without giving up the claims of realism (Arun Iyer).

The second part deals with the inner workings of constitution (*Toward an Archaeology of Constitution*) by focusing on some key conditions for constitution or main objects of constitution: time, the surrounding world, and its horizons. The approach in this part is genetic or archaeological in the sense that the goal is not to describe Husserl's views, but to show from within his views how the components of constitution are supposed to work and why sometimes they do not work the way Husserl thought. This part is thus also an archaeology of the phenomenological method itself.

The essays in this part focus on specific problems that have plagued Husserl's notions of time-consciousness, world, and horizon. John Anders reflects on memory and show the *aporiai* in Husserl's thought, while at the same time demonstrating the fruitfulness of such *aporiai* for the phenomenological method. Neal DeRoo considers the notion of protention and argues for the specific nature of this moment of consciousness that is not merely the parallel to retention. Adam Konopka examines the notion of surrounding world (*Umwelt*) and shows how different it is from the other horizons of consciousness. Roberto Walton provides an overall view of what a phenomenological archaeology would look like by expanding on Husserl's method of "unbuilding" (*Abbau*) and by providing the positive reconstruction of such deconstruction. Finally, Christian Lotz submits photography to Husserl's theory of image consciousness, showing how Husserl's method can be extended to other fields of constitution and with what kind of amendments.

The third part (*Ethics and the Philosophical Life*) is about moral philosophy, which is a relatively recent field of study in phenomenology. Ethics is not conceived in this part as a specific science with its theoretical framework that can be applied to particular fields of human activities, but as a

dimension of the person. Ethics is approached as including both the ethical aspect of philosophy itself and the contribution phenomenology makes to the theory of ethics.

The essays in this part are devoted to the field of phenomenological ethics that has gained prominence by the recent publications of Husserl's works on ethics and value theory. Dermot Moran presents the general framework by focusing on the existential aspect of thinking or doing philosophy: it is an existential, not just an intellectual attitude and in this sense it is anchored in a lifeworld. The paradox is that doing philosophy also means putting oneself out of the lifeworld, at least methodologically. Reflection is ethical in the broad existential sense of belonging to a lifeworld shared with others, but it is also homeless when it does its task properly or "ethically." Sonja Rinofner-Kreidl illuminates the link between Husserl's ethical theory and Kant by showing how Husserl keeps the formalism of Kant while integrating a material virtue ethics element through his focus on the person. Margaret Steele focuses on Husserl's method in ethics by contrasting it with John Rawls' notion of the original situation. While Rawls appeals to a kind of phenomenological reduction, Husserl himself rejects this method when it comes to ethical matters.

These contributions illustrate the extent to which Husserl's philosophical enterprise is multifaceted and encourage scholars to treat Husserl as the name of a research project, which includes several Husserls, instead of a unified philosophical program. This is also the spirit in which the conference of the Husserl Circle was conducted in Milwaukee in 2008.[1]

Note

[1] The conference as a whole was also reviewed by Shazad Akhtar and Arun Iyer ("Husserl at Marquette. A Report on the 38th International Husserl Circle Conference") in *Phänomenologische Forschungen,* 2008, 183–92.

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Part I

Toward a Broadened Epistemology

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Chapter 1

Epistemic Justification and Husserl's "Phenomenology of Reason" in *Ideas I*

Carlos Alberto Sanchez

Introduction

In his *Introduction to Phenomenology,* Dermont Moran makes the following observation:

> Of course, Husserl employs the term "epistemology" . . . not to refer to the kinds of epistemic justification usually marshaled to overcome the threat of skepticism, but rather, more in the Kantian sense of an a priori investigation into the nature of those acts which yield cognition [*Erkenntnis*]. (Moran 2000a, 92)

Referring to the *Logical Investigations*, Moran's point is to emphasize the transcendental, as opposed to the empirical, character of Husserl's theory of cognition. The idea is that Husserl's epistemological concerns are of a different sort than, say, those of epistemologists worried about the justification of one's beliefs, for instance, folks like Ernest Sosa or Edmund Gettier. Husserl's "sort" of concern is the sort of concern that *avoids* asking how S knows that P, when S is an individual and P is a particular state of affairs. In *Ideas I,* Husserl tells us

> We are not interested in the factualities of consciousness and its processes; rather we are interested instead in the problems of essence which might be formulated here. Consciousness, or the consciousness-subject itself, *judges* about actuality, asks about it, deems it likely, doubts it, resolves the doubt and thereby effects the "*legitimizations of reason*."

Which leads him to ask, rather rhetorically: "Must not the essence of this legitimacy . . . be allowed to become clear in the essential context of transcendental consciousness, thus purely phenomenologically?" (Hua III/1, 281/Husserl 1983, 324).[1]

This suggests that Moran is right in one respect, namely, that Husserl's is "an a priori investigation" into *Erkenntnis*, an investigation dealing with what Husserl calls the "problems of essence." But Moran limits the possibilities for inquiry when he excludes from Husserl's concern the sorts of "epistemic justification" usually "marshaled to overcome skepticism," such as the *legitimization* of beliefs together with what that process *is like* in essence.

The question is not how S is justified in P, but rather how consciousness in general seeks and finds justification for the beliefs that make it a "belief-consciousness," as Husserl calls it in section 103 of *Ideas*. Again, "must not the *essence* of legitimacy," Husserl insists, "*become clear*?" Indeed, Husserl's epistemology collapses the difference between Moran's "Kantian sense of an a priori investigation into the nature of those acts which yield cognition" and those acts which justify and overcome the threat of skepticism. As Dorion Cairns puts it while discussing Husserl's earlier master work, *Logical Investigations*:

> [T]he initial dominant purpose of Husserl's investigations was not to develop a purely descriptive psychology, simply for the sake of knowing more *about the psyche*. He undertook such investigations as a means to the *critical justification of all alleged knowledge* [my emphasis], including knowledge of *other entities besides* the psychic. (Cairns 2002, 230)

Thus in the realm of Husserl's "epistemology" we can count as themes of investigation the different ways in which "all alleged knowledge" stakes a claim to truth, namely, with its justification. Of course the epistemological investigation does not deal with the specifics of how one is justified in believing particular facts, expressed in a proposition like "Paris is south of London." Rather, the epistemological question deals with the processes involved in *being* justified in believing *any fact whatever*.

In what follows I lay out Husserl's theory of epistemic justification as he sketches it in Part IV of *Ideas I*, especially in the section he appropriately titles the "Phenomenology of Reason," understood here to present a phenomenological analysis of *how* reason is *given*, namely, how reason manifests itself in conscious life. My claim is that Husserl's "phenomenology of reason," by clarifying the ways in which the "legitimizations of reason" take place can be ultimately understood as a *theory of epistemic justification*. The theory of epistemic justification discussed here is a phenomenological account of the process whereby the thinking subject comes to regard particular beliefs as true and can give *reasons* to support this claim.[2]

Justifying the Claims of Consciousness

In the first section of Part IV, *Ideen* § 128, Husserl offers a brief summary of what has occurred in the first three parts of the text. He ends this summary, and § 128, by telling us what the intention of this part of the text will be. He writes:

> For, progressing in this direction . . . we finally confront the question of what the "claim" of consciousness actually to "relate" to something objective, to be "well founded," properly signifies . . . and with that we confront the great *problems of reason*, the clarification of which within the realm of phenomenology, the formulation of which as *phenomenological* problem, will become our aim in this fourth part of the First Book. (Hua III/1, 266/Husserl 1983, 308)

For our purposes, we can rephrase this in the form of a question: What does it mean for consciousness *to claim* that it is "well founded"? If Husserl equates this question with the "great problems of reason," as he obviously does here, then the answer has to do with (rational) knowledge and its legitimacy. We can then ask: what does it mean for consciousness *to be* "well founded" or legitimated? The answer to this last question is given early in *Ideen* § 24, where the "Principle of All Principles" tells us that "every originary presentive intuition is a *legitimizing* source [*Rechtsquelle*] of knowledge [*Erkenntnis*]" (Hua III/1, 43–4). As a *Rechtsquelle*, intuitive givenness *rights* knowledge and thereby consciousness.[3] So consciousness has a right to *claim* that it is well founded; but, does *claiming to be* well founded mean that consciousness *knows*, once and for all, that it is well founded? Of course not. So the claims of consciousness to be well founded are made based not on knowledge but on beliefs grounded on intuitions which justify, or legitimize, that claim. In essence, the claim of consciousness never rests on absolute foundations; the claim depends on intuitions which justify through different degrees of givenness (Tieszen 2004, 260).[4]

And so it is easy to see why Husserl would wait until the fourth part of the text to lay out the essence of justification—justification of consciousness and those beliefs that support its claims—since he first has to clarify the general structures of consciousness along with the essence of its relations to objectivities. Now he can elaborate into the nature of *why* these relations matter and thus into how consciousness attains reason. This can readily be seen in the preface of the second chapter of Part IV, "Phenomenology of Reason," where Husserl writes: "No matter what one says about [objects],

that which is meant and stated must—if one speaks rationally—be something which can be '*grounded*,' '*shown*,' directly '*seen*' or *mediately* '*seen intellectually*' " (Hua III/1, 282/Husserl 1983, 326). Thus to speak rationally is to be justified in speaking, which happens when what is said is properly (rationally) grounded, shown, or seen.[5]

Ultimately, speaking, and rational thinking itself, presupposes the justification of those beliefs that give sense, or reason, to speaking and thinking. "This [grounding]," writes Husserl in the preface to chapter 2, applies "to all doxic positional modalities" (Hua III, 282/Husserl 1983, 326). We can thus begin to see those potentially obscure conceptualizations of Husserl's text in a different light: when Husserl talks of the *legitimization of reason* he is referring to nothing more than what we now call *belief justification*, where the concern is to uncover the nature, process or event of justification itself, what Husserl calls in different places "fulfillment" or "evidence."[6]

Distinguished Beliefs

When justification becomes an issue for us—when we worry over justification—it is *natural* to compare our experiences of being justified with our experiences of being unjustified—to compare, that is, our justified beliefs with our unjustified beliefs. When I compare my belief that *death will bring only darkness, stillness and quiet* against my belief that *my son is really enjoying his cereal* one thing becomes apparent: only in one case do I have *reason* to believe. My reason to believe that *my son is really enjoying his cereal* is given perceptually; I *see* my son eating his cereal and I hear him making those sounds that I take (perhaps even mistakenly) to correspond to enjoyment. Of course, he could be eating the cereal because he is starving while finding it utterly disgusting. Nevertheless, *seeing* and *hearing* him eat his cereal is reason enough for me to believe that he is enjoying his experience. The case is not the same with my belief that *death will bring only darkness, stillness and quiet*. No *experience* that I can have as a human being can justify this belief.

These illustrations are factual. But the point is that in *essence* experience (or "intuition" in Husserl's sense [Cf. § 24]) *gives rise to reasons which justify beliefs*, that is, experience justifies. He says that we "speak rationally" (op. cit.) when our words are grounded in experience or intuition and *blindly* when they do not: "We can assert 'blindly' that two plus one is equal to one plus two; but we can also make the same judgment in the manner peculiar to intellectual seeing" (Hua III/1, 282/Husserl 1983, 327). Thus my belief that *my son is enjoying his cereal* can likewise be unjustified if and when I am

simply guessing or if, when the moments pass, I am merely remembering. "Thus memorial consciousness," Husserl says, "is not originarily presentive; the landscape is not perceived as it would be in case we actually saw it" (Hua III/1, 282/Husserl 1983, 326). This, of course, points to the notorious unreliability of memory. But it is also pointing to something about our beliefs, namely, that their status as justified is not permanent. "The mode 'certain belief,' " Husserl says, "can change into the mode of mere deeming possible . . . or questioning or doubting" (Hua III/1, 214/Husserl 1983, 250). This change is essential to beliefs as "noetic characteristics related to correlative modes of being" (Hua III/1, 214/Husserl 1983, 249).

Husserl is thus very clear that *justification* of beliefs (or "doxic modalities," see § 103–6) is restricted to the realm of experience, whether this experience is one of essences or one of actualities. He writes: "A fullness of sense does not make all the difference; the *How* of the fulfilledness matters as well . . . [For example], in the perception of the landscape, the sense is fulfilled perceptually" (Hua III/1, 283/Husserl 1983, 327; my emphasis). It is not enough that the intentional regard of the belief achieves fulfillment; this fulfillment must be of a particular type, corresponding to the type of belief it is. Thus a belief about an actual state of affairs is fulfilled in the perceptual experience of an actual state of affairs while a belief about an ideal or essential condition (e.g., that two plus two is four) is fulfilled or justified in the "intellectual seeing" of that condition. This is the *How* of justification.

Hence, when beliefs are properly grounded in experience (eidetic or perceptual), it is rational to hold them. As an attribute of consciousness, rationality can be shown to inhere in the reasons that legitimate the different acts of the Ego. In fact, justification lends to consciousness, Husserl says, "*a distinguishing mark*" (Hua III, 283/Husserl 1983, 327). This mark of distinction *accrues* to what is posited "if and only if" what is posited, the belief, "is a position on the basis of a fulfilled, originarily presentive sense and not merely on the basis of just any sense" (283/327), in which case, it is "rationally motivated" (284/328). Here we see Husserl pre-empting future discussions over justification by setting up his own unique position. The discussion in question takes as a starting point the following view, recently expressed by Laurence BonJour:

> Knowledge requires . . . that the belief in question be justified or rational in a way that is internally connected to the defining goal of the cognitive enterprise, that is, that there be a reason that enhances, to an appropriate degree, the chances that the belief is *true*. Justification of this

> distinctive, truth-conducive sort will be here referred to as *epistemic justification*. (BonJour 1991, 1)

How is Husserl's pre-empting this discussion? By stating, as early as the sixth *Logical Investigation*: "We prefer to speak of 'knowledge' where an opinion, in the normal sense of a belief, has been confirmed or attested [*bekräftigt oder bestätigt*]" (Husserl 1970a, § 16). And in *Ideas*: "[the positum] has its *original legitimizing basis* in originary givenness" (Hua III/1, 284/ Husserl 1983, 328)—these are statements regarding that which would fulfill BonJour's criteria of what knowledge "requires," namely, that for any *positum* or belief "there be a reason that enhances . . . the chances that the belief is *true*" (BonJour 1991, 1). Certainly confirmation, attestation, and "originary givenness" enhance the chances that a belief, any belief, is true. Husserl makes this clear when he associates "confirmation" with "the fullness of the power of reason in the case of positionality" (Hua III/1, 310/ Husserl 1983, 356).[7]

The demand for rational motivation—for rational support—is a human demand of the natural attitude. In Husserl's transcendental project, it is a demand of consciousness itself, which is intentional and serves as the condition for the possibility of experience. In either case, rational motivation resulting from the justification of those acts of consciousness that inform it and lend it its positing character, i.e., as beliefs, seems implicated in certain skeptical debates organic to both the nature of beliefs and to the nature of justification. These debates can be captured in a simple either/ or proposition related to epistemic justification itself: either justification is foundational or justification depends on coherence relations amongst beliefs. I now turn to that aspect of Husserl's theory of epistemic justification as developed in the phenomenology of reason.

Belief: Coherence or Foundation

I am not alone in stressing the importance of Husserl's concern with the kind of straightforward epistemological project about which Moran expresses reservation. Henry Pietersma insists that "Husserl's philosophy is fundamentally shaped by his epistemology" (2002, 37); Dallas Willard writes, "clarification of the nature of knowledge is the primary aim of Husserl's philosophical work" (1995, 138); Walter Fuchs echoes this sentiment and writes that "at the *heart* of Husserl's work is the development of an epistemology" (1976, 89). This should not be surprising. After all, the

development of a rigorous science demands the clarification of the nature, sources, and limits of knowledge itself. Already in the *Logical Investigations*, Husserl outlines the questions which those first sections of Part IV of *Ideas I* are meant to answer. He refers to these questions as the "basic questions of epistemology":

> How are we to understand the fact that the "in itself" of the objectivity comes to "representation"—indeed, that in knowledge it falls within our "grasp"—and so ends up by becoming subjective after all? . . . What does the *adaequatio rei et intellectus* involved in knowing signify in the various types of cases, depending on whether the knowing grasp takes in an individual or a universal, a fact or a law, etc.? (Husserl 1970a, 254)

Another way to say this is: how do we "understand" the *relation* between mind and world? How is it that we can "grasp" what seems to be an "in itself" and bring it within the confines of subjectivity? How can ideal, objective, entities interact with contingent, temporal, experiences culminating in the acquisition of knowledge? And, what is the difference between knowledge of particulars and knowledge of essences, or universals ("the *adaequatio rei et intellectus* . . . in various types of cases")? The answer to these questions comes after extensive phenomenological research that leads Husserl to argue for the phenomenological nature of the objects known, the nature of justification and evidence, and the structure of what he calls above the "knowing grasp."

The knowing grasp that Husserl alludes to is clearly the intentional act *as* an epistemological act, namely, the belief act or believing. Belief as the knowing grasp is thus fundamental to a proper understanding of the answers Husserl gives to his "basic questions of epistemology." However, Husserl's own treatment of belief in *Ideas I*, limited as it is to his discussion of the *epoche* and § 103, might lead us to overlook its import in Husserl's epistemological story. Paul Ricoeur calls Husserl's analysis of belief "the most remarkable analysis" in *Ideas I* (1967, 22); more remarkable, that is, than Husserl's analysis of judgment. In fact, the position-taking character of beliefs is indeed *prior* to judgment, and as such, more significant for our understanding of intentional consciousness. As Ricoeur understands it, belief "is credence, a crediting, *prior* to the judgment properly so-called, which takes a position with respect to truth and falsehood" (1967, 40). Dorion Cairns expresses a similar view when he says that "knowing [for Husserl], though it is more than *just* believing, *is* believing" (2000, 23). As such, beliefs are the fundamental characteristic of all intentional acts, or

to put it more forcefully, they are "the basis of conscious life" (Brainard 2002, 216).[8]

What this means is that, as "the basis of conscious life," beliefs stand in the background (as constituting the horizon of experience or of believing) of all linguistically expressed judgments (this is why Husserl refers to consciousness as a "belief-consciousness"). Belief itself takes the form, moreover, of a *disposition*, where, for instance, one is *disposed* to believe in the three-dimensionality of a house when the evidence to believe this presents itself. The evidence presented, however, can be either adequate or inadequate evidence, in which case the *justification* of the *occurent* belief is at issue. In the case of perceptual experience, the evidence, or justification, for an occurent belief—a belief held at any particular moment—is always somewhat inadequate since the perceptual object, because it is experienced in space and time, is not given in its entirety. However, whether or not the evidence is adequate, what this means is that all conscious experience is underpinned by beliefs about and of the world, beliefs which seek different degrees of fulfillment or justification. Moreover, objects or states of affairs are generally "seen" *as* this or as that due to those beliefs (constituting the horizon of experience) that help to direct the direction of my gaze (namely, of intentional experience). But this is not yet the moment of justification. This occurs when a particular belief *seeks* its verification in experience; it, the belief, approaches from the background, so to speak, and demands its own truth. Hence, I can say that if the object or the experienced state of affairs turns out to be the object demanded or sought by the belief, then the belief is fulfilled and, at least momentarily, serves as a justified belief.[9]

The essence of belief is, consequently, inseparable from the essence of intentional consciousness. The phenomenon of belief shows itself as an *irreducible* aspect of intentional experience, as indispensable to intentional consciousness, if not informing conscious awareness, nevertheless always in the background, akin to dispositional interests, or background beliefs.[10] "There is a background of beliefs," writes Henry Pietersma, "to which perception owes its achievement character" (2002, 19ff.). As standing in the background of experience, occurent or present beliefs are justified so long as they cohere with those which stand in the background.

Given the above characterization, we must presumably conclude, with Pietersma, that justification is a matter of systematic coherence. While this suggestion might sound offensive to those who read Husserl as a strict foundationalist, it nonetheless sounds plausible. But is it right?

Pietersma suggests that justification, or the "achievement character" of a belief, is due to a set of background beliefs. While it is true that beliefs

are part of a nexus of other beliefs, justification does not come about as a matter of mere coherence. Justification of beliefs, particularly perceptual beliefs, or claims of knowledge of facts, involves both the givenness of the object (evidence) to which the belief refers and, of course, the belief as a sort of conceptual characterization of that object. As conceptual characterizations, however, beliefs must be, somehow, intersubjectively informed; with respect to Husserl's epistemology, that is, not every belief means to "mirror nature," as Rorty famously puts it.

The phenomenological description of beliefs proposes that beliefs count as epistemologically justified (rational) when the object toward which they refer is given in perception (or intuition). The problem is that the intended object, particularly an object of an act of perception, is underdetermined by the intuitive data (by "the given"). Consequently, where the source of justification is perceptual experience, justification takes place in degrees, and in this way one might be led to think that empirical knowledge claims can never be fully justified by experience; the coincidence that characterizes truth, that is, does not take place.[11] For this reason, there must be more to justification than intuitive givenness (what a strict foundationalism would claim); there must *also* be coherence. What this means is that we cannot ascribe a strict epistemic foundationalism to Husserl. However, neither can we ascribe a strict coherence theory of justification, where, as Laurence BonJour—at one time this theory's most ardent activist—puts it, "the agreement and mutual inferential support is a primary, even exclusive basis for justification" (BonJour and Sosa 2003, 13). I follow John Drummond in referring to Husserl's epistemological project as "non-foundational" (Drummond 1991).

According to Drummond, Husserl's phenomenology cannot be conceived as either a form of coherentism (or anti-foundationalism) or a form of foundationalism. It cannot be a foundationalism since this conception "fails to conceive adequately the intentionality of experience and thereby fail[s] to clarify adequately both the relation between experienced content and the experienced objectivity" (Drummond 1991, 48). It cannot be a form of coherentism, or anti-foundationalism, since, again, justification involves more than the systematic coherence of beliefs. Drummond thus introduces "non-foundationalism" to refer to knowledge which is *founded* on "indubitable" subjective experience but is nonetheless fallible and corrigible. He concludes that "indubitability does not entail incorrigibility, [thus] it remains perfectly conceivable that in an ongoing philosophical reflection such truths will be corrected not by negation but by refinement and more precise qualification" (Drummond 1991, 65). Another way to say this is that

justification is a much more dynamic process than the two aforementioned discourses suggest; more importantly, this suggests that one must abandon the age-old project of absolute grounding for knowledge.

Conclusion: A Non-foundational Theory of Epistemic Justification

It is generally agreed that the original aim of phenomenology was to achieve an unsurpassed level of scientific rigor so as to ultimately serve as the theoretical bedrock for the sciences. Phenomenology aims at this lofty goal, moreover, without staking an ontological or metaphysical position; that is, it remains, especially with Husserl, metaphysically neutral (metaphysical posits are "bracketed" in the phenomenological reduction). Interpreters, consequently, have been careful not to pigeonhole Husserl's philosophy into any of the traditional categories, namely, as an epistemology, metaphysics, and so on (as exemplified in Moran's *Introduction*).

My view is that it is precisely the threat of skepticism that drives Husserl's entire phenomenological project; skepticism is Husserl's primary concern throughout.[12] The real point here is that for Husserl the phenomenological method is, more than anything, an analysis of the natural attitude, of what we take for granted in our naïve existence. The epistemological processes at work in the process of human existence should not escape analysis. After all, there has to be an "essence" to these epistemological processes, and if there is such an essence, this is not outside the scope of consideration, as Moran suggests. As Marcus Brainard has recently stated, "The phenomenologist's task thereby is not one-sided, as is the logician's, but rather all-sided" (Brainard 2002, 200). To be exclusively focused on the *a priori* nature of acts is surely to be "one-sided."

The anti-epistemological characterization of phenomenology has its roots, I believe, in the more recent, postmodern, "Rortyan," idea that the attempt to uncover the foundations of knowledge in subjective experience (namely, intentional consciousness) is ill-fated; or, for that matter, that to "ground" knowledge in this sense is philosophically irresponsible (see Rorty 1979, chapters III–IV).[13] Consequently, writers like Moran seem to want to try to rescue Husserl from the throes of the postmodern critique by showing that Husserl is not committed to this project. But, even if Husserl is not committed to *this* project (foundationalism), he is committed to a project *dialectically related* to this project—what, following Drummond, I call "non-foundationalism" in justification. While my claim is not that

Husserl is a foundationalist in the traditional sense, I do think that subjective experience is a condition for the possibility of knowledge, since, at the very least, justification is an insignificant concept if considered outside the scope of subjective life. In any event, it is worthwhile to re-think what Husserl sees as philosophically important in his phenomenological enterprise: is it the establishment of foundations for "knowledge in general" or is it the elucidation of a certain kind of knowledge in particular?

I take it that Husserl knew very well that the foundations for certain kinds of knowledge could never be secured, or even hold for everyone and for all time, especially perceptual, or empirically factual, knowledge—a kind of knowledge, by the way, also within the purview of phenomenology. So, as I see it, Husserl had to make some concessions and give up certain foundationalist aspirations (for instance, the Cartesian aspirations of absolute grounding he begins with and then rejects in *The Idea of Phenomenology*). That is, assuming he held on to any (foundationalist aspirations), he certainly would hold that justification has to end somewhere, namely, in intuitive givenness *and* its horizon, that non-intended halo constituting the context of presentation, what can also be understood as the set of coherence relations of which the intuitively given is a part. This "set of coherence relations of which the intuitively given is a part" can be understood in terms of sets of beliefs which are commonly held by entire communities and which have been, through time, intersubjectively verified. Hence, a belief's justification depends both on the intuition of the given and on how that belief fares in its social, historical, and epistemological situation, a situation that Husserl describes as "an open plurality in relation to subjects 'understanding one another' " (Hua III/1, 317/Husserl 1983, 363).[14]

The purpose of the foregoing reflections has been to offer a preliminary incentive to think of Husserl's project as epistemologically motivated. Specifically, to think of justification as a central theme in Husserl's phenomenological epistemology. We should heed Husserl's suggestion in the question: "must not the essence of justification and, correlatively, the essence of 'actuality' . . . be allowed to become clear?" (Hua III/1, § 135). My view is that intentional consciousness is, as Husserl says, a "belief-consciousness," so that intentional acts are characterized as beliefs, and that these beliefs stand within a nexus of other beliefs which navigate the intentionality (directionality) of consciousness. Moreover, these background beliefs, standing on the horizon of possible believings, can be described as possible "inclinations" to affirm or deny occurent situational contexts. When experiential events actualize a belief whose "aboutness" is merely a potentiality to refer, beliefs manifest themselves phenomenologically as "preferences"

of the ego toward the truth of a particular objectivity or situation—toward, that is, their fulfillment or justification given the presence of those objects toward which they are directed, which they *anticipate*. I take all this to mean that Husserl's epistemological project is non-foundational (but neither is it strict coherentism), and that so far as knowledge claims are justified in *the right way*, we can (at least) be confident in our worldly knowledge. These claims presuppose that any belief which is justified also exhibits a degree of rationality which lends to the belief a *mark of distinction*; thus any belief which is about something that actually shows itself is a rationally held, justified, belief.[15] In this sense, reason cannot be described phenomenologically as a "faculty" that characterizes the essence of the human being. According to Husserl's "phenomenology of reason," reason shows itself in beliefs as what makes those beliefs right, or justified, thus as a distinguishing mark, somewhat akin to a predicate "belonging to" conscious fulfillment (Hua III/1, § 136; Husserl 1983).[16]

Finally, it is instructive to understand Husserl's theory of justification in light of his overall concern with personal and philosophical authenticity. That is, the attempt to unravel the justificatory sources of our beliefs is an attempt to delineate the manner in which one can be authentic, and, related to this, inauthentic. Thus, it is indispensable, I maintain, that one understand the entirety of this project as an existential project, namely, the project which reveals *how* to be authentic through and by an appeal to rational, justified, thinking.[17]

Notes

[1] The phrase here is *das Wesen dieses Rechtes* (Hua III/1, 281). Translators render *Recht* as "legitimacy," "justness," "justice," and "rightness." Throughout what follows, however, I show that a "legitimate" judgment or belief is also a "justified" judgment or belief, thus that "justification" is a suitable translation of *Recht* in the present and similar contexts. See, Dorion Cairns 1972.

[2] The issue here is not whether the belief is *really* true, but merely that the subject *thinks* that it is given "reasons" to hold the belief. Reason (traditionally the *essential* human faculty) in the "phenomenology of *reason*" is regarded here merely as a positive property of beliefs, thus not as a substance subjected to phenomenological study.

[3] Thomas Nenon has pointed out the epistemic value of *Rechtheit* in his discussion of reason *as* the search for authenticity. "Rightness means that the positing of a state of affairs has been done appropriately, that the object or state of affairs is the way it is posited to be" (Nenon 2003, 65). Indeed, in "The Principle of All Principles," intuition is *the source of rightness.*

[4] Addressing the issue of degrees of givenness, Richard Tieszen explains: "[For Husserl] the relation of fulfillment is one that admits of degrees in which epistemic value steadily increases. Each such ascending series points to absolute adequation as an *ideal limit*" (Tieszen 2004, 260).

[5] In his excellent and laborious study of *Ideas I*, Marcus Brainard likewise picks out this passage as indicative of Husserl's concern with legitimacy (not necessarily, however, *epistemic legitimacy*). Brainard points out: "Rational speech is thoroughly positional. It alone allows of the justification, demonstration, seeing, or insight called for, and so of the establishment of knowledge" (Brainard 2002, 203). While I agree with most of Brainard's interpretation in his study, I take issue with the view that rational *speech* "*alone* allows for . . . justification." Beliefs, as I point out below, also, if not solely, allow for justification and these are not always either spoken or propositional.

[6] Fulfillment can be understood simply as the experiencing of that toward which an intention is directed. As Husserl puts it in the *Logical Investigations*: "an expression first functions in merely symbolic fashion, and then is accompanied by a 'more or less' corresponding intuition. Where this happens, we experience a descriptively peculiar consciousness of fulfillment [*Erfüllungsbewußtsein*]" (Husserl 1970a, § 8). And further, again in the sixth Investigation: "What the intention means, but presents only in more or less inauthentic manner, the fulfillment—the act attaching itself to the intention, and offering it "fullness" in the synthesis of fulfillment—sets directly before us, or at least more than the intention does. In fulfillment our experience is represented by the words: 'this is the thing itself [*das ist es selbst*]' " (Husserl 1970a, § 16).

[7] This association comes almost as an afterthought in Husserl's discussion of regional ontologies in § 149. While this section does not make it a point to elucidate on the nature of "confirmation," it is nonetheless clear what Husserl means by this term. The German text supports my view. Here is the full sentence: "*Ist das Noema, wie hier, ein einstimmiges, so finden sich in der Gruppe auch anschauliche und insbesondere originär gebende Noemen, in denen sich alle andersartigen der Gruppe in der identifizierenden Deckung erfüllen, aus ihnen in dem Falle der Positionalität Bestätigung, Fülle der Vernunftkraft schöpfend*" (Hua III/1, 310; my emphasis).

[8] This is Marcus Brainard's phrase with which I tend to agree. He arrives at similar conclusions as Ricoeur and me regarding the significance of belief.

[9] This would be a case when I acquire knowledge of facts, or perceptual justification. In Darko Polšek's negative characterization: "At most, what phenomenology can arrive at concerning knowledge of facts is the attaining and justifying of *available knowledge*" (Polšek 1991, 215, my emphasis).

[10] We stand on similar ground with William James. Beliefs, according to James, are in the background and constitute the interests of consciousness. As he puts it, "consciousness is always interested more in one part of its object than in another, and welcomes and rejects, or chooses, all the while it thinks." This is the view I am attributing to Husserl, what he calls "belief-consciousness" (Hua III/1, § 103–4). See James 1948, especially Chapter XI, "The Stream of Consciousness."

[11] Husserl's characterization of truth as coincidence is more fully formulated in Husserl 1970a, § 37ff.

[12] See also Henry Pietersma, "Husserl's Views on the Evident and the True," where Pietersma argues that skepticism was the motivating factor behind Husserl's "search for truth" (1977, 50ff.).

[13] There, Rorty clearly throws Husserl into the foundationalist camp: "So the episode in question [the modern attempt to search for the justificatory foundations for knowledge] cannot be simply identified with 'modern philosophy,' in the sense of the standard textbook sequence of great philosophers from Descartes to Russell and Husserl. But that sequence is, nevertheless, where the search for foundations for knowledge is most explicit" (390). Rorty's subsequent indictment of philosophy, motivated as it is by what he sees as its foundationalist aspirations, thus includes Husserl as the last in the sequence, or at the very least, a principal offender.

[14] Thomas Nenon identifies the process of justification described here with the nature of reason itself. He writes, "Husserl's conception of reason . . . stress[es] the ongoing nature of reason not as a cognitive faculty or as something strictly individual, but rather as a process, a dialogue based on a shared search for common grounds and common interests" (Nenon 2003, 69). There are a number of similarities between my position and Professor Nenon's who, as an example, also points out that a "striving for rightness," what I would call a *search for truth* or demand for justification, is rooted in a "desire to orient one's belief's, values, and actions on something that will be able to be maintained and supported by the further course of experience" (67). The problematic nature of Husserl's conception of rationality, or reason, in Husserl is given quite a different treatment by Dorion Cairns in "Reason and Emotion." For Cairns, the concept of rationality is not as straightforward as Nenon suggests. Cairns identifies an epistemological gap between "absolute rationality" and "presumptive rationality," the latter of which is similar, in some respects, to what we would refer to with the term "unjustified belief" (Cairns 2000, 24). Thus, all beliefs are rational, but not all of them strive for truth, namely, beliefs whose rationality is a presumptive rationality.

[15] As Husserl says: "A specific character of rationality pertains, however, to that of positionality as its own, as a distinction which is then and only then essential to it when it is a position grounded not merely in meaning but in a filled out, primordial dator meaning" (Hua III/1, § 136; Husserl 1983.

[16] Brainard writes: ". . . reason is nothing separate from consciousness; it is not a subject or substance, but rather something that belongs intimately to consciousness. But then not as a faculty in the classical sense. Reason [is] something predicated of consciousness" (2002, 203).

[17] The existential aspects of justification are further emphasized in Sanchez 2007.

Chapter 2

A Defense of Husserl's Method of Free Variation

David Kasmier

The prevailing wisdom among Husserl scholars has it that Husserl's method of "Free Variation" or "Free Fantasy" suffers from a pair of serious objections. On one hand it has been suggested that there is a vicious circularity operant at some level in the method; on the other, that the method cannot provide us with any more than inductive and tentative generalizations and thus cannot provide for a priori necessities as originally conceived. The result is a rather devastating critique of one of the preconditions of phenomenological practice itself.

In this essay I defend Husserl's a priorism and method of free variation against these objections. I critique the proposed solutions offered by the critics and offer an interpretation of free variation that avoids their objections. I find two errors to underlie these established objections. First is the assumption that the method of free variation *is* Husserl's account of universal intuition. I argue by way of Husserl's distinction between empirical type and pure essences that while free variation may serve as a basis of universal intuition, it actually presupposes the possibility of such an intuition, and does so in a way that guarantees that the method avoids problems associated with circularity. Second is the assumption of an extensionalistic and thereby inductivistic approach to discerning modal relations. From this perspective critics charge Husserl's account with the weaknesses of induction: uncertainty, probabilistic knowledge, and revisability. I argue that this assumption is untenable and unnecessary on Husserlian grounds.

Phenomenology and the A Priori

Husserl's development of phenomenology, to his own mind, depended straightforwardly on the metaphysical reality of universals and the epistemological possibility of a priori knowledge. He spent at least as much time defending his new science of phenomenology as actually practicing

it, and consequently, nearly all of his seminal works reference these two fundamental pre-conditions. Consistent with the tradition of rationalism, Husserl finds a priori knowledge to be grounded in the intuition of universals. However, Husserl distinguished two sorts of universals: empirical types and pure essences. Empirical types are universals that are apprehended on the basis of actual individuals and they make up the subject matter of the empirical sciences (e.g., all natural kinds are empirical types). Husserl finds empirical types inadequate to the task of discerning modal relations, and hence, a priori necessities. He argues that they have an essential attachment to actuality that makes their modal unity inscrutable. In pure essences, by contrast, Husserl finds the ground of modal knowledge and the proper subject matter of the a priori disciplines; pre-eminent among these is phenomenology itself. To overcome the inadequacy of the intuition of universals based upon actual individuals and to apprehend pure essences Husserl proposed the method of "Free Fantasy." It consists of the systematic use of imagination to reveal not only pure essences but the essential relations that hold among them.

Already in the *Logical Investigations* the process of "Variation" is introduced as the means for establishing dependence relations, and thereby a priori laws of wholly universal and necessary character (see Husserl 1970b, III Sect. 5). The rather straightforward account presented there is successively expanded and subsumed in Husserl's continuing work, and by 1913, the role of imagination in the establishment of dependence relations is given a methodic prescription and the title of "Free Fantasy" or "Free Variation." However, by this time, the focus of the method has changed. Where variation originally provided insight into dependence relations, (e.g., that every color has a hue and intensity neither of which can exist without the other), it now provides the basis for an intuition of "pure" universals, the acquisition of dependence relations being surreptitiously subsumed and no longer discussed at any length. Thus, while Husserl freely speaks in his 1925 lecture, *Phenomenological Psychology,* of variation as the manner whereby "all intuitive essential necessities and essential laws and every genuine intuitive a priori are won," the specifics of his exposition there concern only what he calls "the seeing proper of the universal as eidos" (Husserl 1977, 53, 57).

The Method of Free Fantasy

Let me briefly summarize the method.[1] It begins by choosing an object and turning it into an example of the type you care to investigate. Suppose

I wish to investigate the "pure" essence of the category Material Body. To begin, I bring to mind the intuitive presentation of some material body. Right now I can visually perceive a desk, so I will start with it. This object must, according to Husserl, be "turned" into a mere example of the type I aim to investigate. Turning an object into an example is not a modification of the object but of the way the object is regarded or taken up. Every consciousness of an actual object can be modified so that its object is regarded, not for its own sake, but merely as one possibility among others.[2] In Husserl's words,

> I can in fantasy imagine the brown bench as painted green; then it remains an individual existent in this lecture hall, only imagined as changed. But I can as it were transform each and every fact into a fiction in free arbitrariness. (Husserl 1977, 53)

In the case of my desk, the point is to regard it as merely one more possible material body among other possible material bodies. Since my desk is to be treated on par with any other imagined desks, the fact that I began with an actual desk becomes irrelevant. I could have begun with a merely imaginary and even non-existent object from the start. In this important, but limited sense, the process of variation that leads to the apprehension of pure essences and the necessities that hold among them is neither dependent upon empirical experience, nor even the existence of an actual case exemplifying the type in question.[3]

The example then becomes what Husserl calls a "guiding model" in a process of imaginative variation. This process consists in imagining a series of additional objects, "concretely similar to the original" example, with respect to the property instances whose types are under investigation, though arbitrarily differing in other respects (Husserl 1977, 53; 1973a, 340). For example, in the case of the desk, it is its materiality whose essence I wish to investigate. Thus, I treat it as an example of the type material body and its aspect of materiality as an example of the type Materiality or Material Object. I then imagine additional objects which are exactly similar to it with respect to their material aspects. In short, I imagine other various sorts of material objects, e.g., cars, trucks, planets, etc. In this way, I am not only guided by my example, but really by the specific simple or complex property instance in my example. Since every variant has a constituent exactly similar to a constituent of my original, I am guaranteed each such variant is an instance of the same type in the relevant way. In the case of the desk's moment of materiality, each variant with a like moment will fall

under the same type as my desk, namely, the type Material Object.[4] Had I picked a different feature, say, the shape of the desk, I equally could have used it and its shape as my guiding model as well.

As long as the variants retain an exact similarity in the relevant respect there will remain the permanent possibility of recognizing the universal that grounds their similarity. The universal identity that becomes evident running through the multiplicity of successive variants Husserl calls the "pure essence" or "eidos" of the object began with. That universal, according to Husserl, appears as the "necessary general form, without which an object such as this thing, as an example of its kind, would not be thinkable at all" (Husserl 1977, 54).

In order to guarantee that no hidden reference to the limits of actuality accrues to our pure concept, Husserl prescribes two conditions under which free variation must proceed. First, each variant must be freely and arbitrarily imagined in the sense that nothing but exact similarity to the original property instance is to restrict or limit its production and legitimacy.[5] The point of this condition is to rule out any limitation to what is actual, actually possible, humanly possible, possible according to the latest scientific theories, or any other limitation imposed on the creative freedom of imagination. Thus, when I consider what is common to material bodies, I must not covertly limit myself to bodies that have been seen or can be seen by men, or to bodies that are static, or of some limited size, etc. Consequently, the universal grasped on the basis of this process will have an unrestricted extension, an extension intended to include as a subset what is actually possible.

Second, the process of variation itself must proceed freely and arbitrarily in the distinct sense that one may break off or continue producing variants at liberty.[6] The point of this condition is to establish that the universal apprehended appears as common to something Husserl calls an "open infinity" of possible particularizations. In short, the extension of the universal must be conceived as limitless. According to Husserl, when one acquires the sense that they are free to continue or break off the production of variants at any time, they thereby conceive of the collection of variants as an "open infinity." To quote Husserl on this point:

> . . . we may gain from this red here and that red there something identical to both and a universal. But only a universal of just this and that red . . . Of course by bringing into play a third or several reds whenever they are presented we can recognize that the universal of the two is identically the same as the universal of the many. But thus we gain always only

> common characters and universalities in relation to empirical . . . extensions. But as soon as we say that every optional like instance which can be newly brought into play must yield the same, and say further that the eidos "red" over against the infinity of possible single instances which belongs to this red and to any red which coincides with it, we have precisely an infinite variation in our sense as an underlying basis. (Husserl 1977, 59)

So, while we do not run through every possible like case, we still acquire the sense that the universal common to the already imagined cases is common to an endless number of similar cases. In this way we conceive of the universal as what is common not to this or that finite set of objects already perceived or imagined, but to every like imagined object that may be produced at liberty, and thereby any like objects capable of intuitive presentation.

Of course, Husserl not only thinks that we can acquire these senses (intentions) towards universals, but that they can find fulfillment in their meant objects. That is, we not only come to be thinking of a universal as what is common to an "open infinity" of arbitrarily imaginable like objects, we literally perceive this universal too; a universal whose extension thereby includes the infinity of actual and possible exemplars. As a result our empirical concept is "purified" and the universal apprehended is deemed "pure."

The gist of the method is the invocation of an unrestricted imagination. The aim of the method is to drop the attachment to actuality and its inherent restrictions that are constitutive of our empirical concepts and their empirical types. The solution invoked is to use imagination in a systematic way with the key prescription to respect every intuitively presentive imaginative act as legitimate. Since universals appear as what is common amongst their instances, when the range of instances is opened to the merely imaginable, the universals apprehended on this basis are "purified."

For example, given the intuition of the type Flat Things, I can bring illustratively to mind any sort of flat item, and through a further comparison determine that the imagined item is also flat. But I can also do more. I can easily bring to mind as many and as varied illustrations of flatness as I choose, and barring any mental ailment, I will easily succeed with each new example. As I begin to imagine various examples I can at will vary the features of my examples. I might imagine a flat wooden table, then a flat sheet of paper, then flat icy tundra, etc. *As far as such an exercise is concerned, an intuition of the "pure" type has already taken place.* Directing attention to

the universal flatness, in the exchange of arbitrarily imagined examples, is to be directed to a universal devoid of connection to the actual world. To accept wholly imaginary cases as legitimate examples of the type at hand is to have already apprehended the pure universal.

Naturally, the aim of imaginative variation is not merely to leave the restrictions of actuality and the actual world behind. It is to straightforwardly establish dependence relations along the way. The value of this "purification" process is that universals and their necessary and possible connections are opened up for investigation. In Husserl's words,

> What can be varied, one into another, in the arbitrariness of imagination . . . bears in itself a necessary structure, an eidos, and therewith necessary laws which determine what must necessarily belong to an object in order that it can be an object of this kind. (Husserl 1973a, 352)

Consequently, the recognition of this structure is the recognition of an important class of universal necessities, namely, the long sought after a priori truths.

Criticisms

As is well known, Husserl's method has not gone without critics. The most prominent and widely accepted charge has been that there is a vicious circularity in the method. The following is John Scanlon's summary of this criticism from his *Encyclopedia of Phenomenology* entry on the same topic.

> If the method is meant to achieve knowledge of eide [Pure Essences], how can anyone be asked, in advance, to select an instance of an eidos and then to imagine a series of arbitrarily varied instances of the same eidos? If I do not know what green is, I cannot be expected to select an instance of green and then to vary additional instances arbitrarily, while remaining steadfastly in the scope of green. On the other hand if I already know what green is, I do not require a cumbersome method to acquire the knowledge I already enjoy. (Scanlon 1997, 169)

The first and most obvious charge of circularity conveyed in Scanlon's remarks concerns choosing an example to begin the method. How can I choose an example of the type I wish to investigate without already knowing

what that type is? In order to choose a green object I need to know a thing or two about what makes something green. Hence, the method presupposes that I know what the type is that I plan to investigate.

The second charge of circularity is that the method requires that we be able to recognize whether or not each variant is an instance of the type we are investigating. Since the method requires that we produce variants totally arbitrarily and without restriction, objects that are not of the type being investigated will invariably enter into the process. According to Mohanty this is not just a likelihood, but a necessity, for "the method requires that at some point in my imaginatively fabricating variants, I must be able to say 'this is *not* any longer an Ø' "(Mohanty 1989, 33).

The idea here is that in doing so, I find both the essential limits and essential components of the type I am investigating. Thus, in variation we remove and replace the elements constitutive of our exemplar until we feel pressure upon our variations not to go this or that way any further. When removal of an element destroys the example as an example of the kind, this account supposes that we know that such element was essential to objects of the type under scrutiny. For example, when varying the desk, if I imagine an example whose size is nullified or reaches zero, my object ceases to be any sort of material object at all. "But," Mohanty argues, "how can I say 'this is not any longer an Ø' unless I have already an acquaintance with what something must be like in order to be counted as an Ø or what something must be like in order to be ruled out as an Ø" (Mohanty 1989, 33).[7]

Faced with these apparent circularities, some have suggested that although the method requires that we begin by shifting our attention from an individual object to its pure essence, this pure essence is not yet fully grasped in the process of turning the object into an example of its kind. This "turning of attention," Richard Zaner notes, requires making an explicit intention towards the type "however unclarified the specific content of the 'type' itself may be initially" (Zaner 1973a, 202). Then, through the process of variation, our initially vague and partial grasp of the object's essence is made determinate and complete. The essence in question becomes precisified and made salient. In this way the apparent circularity is not vicious, for the method of free fantasy is a method for clarifying essences that are initially given in an unclear manner. Thus, it is true that the method requires that we think about types and subsume objects under them, but that does not entail that we need to know or "grasp" the essence of something in order to treat that object as an example of its kind. Free Fantasy deals with unclarified types that can be clarified in the process of variation. Something like this solution to the circularity problem is held by most who take this objection seriously

(see, for example, Mohanty 1989, Levin 1968). Thus, the method is not in fact one of discovery, but of clarification.

This proposed solution, however, is inadequate on Husserlian grounds. The process of variation grounded upon vaguely intuited types can never yield a less vague precisification of that type. The reason is that given an unclear grasp of an object's type, it is not possible to know which properties or complex of properties of the object are to be varied and which are to remain constant in the process of variation. If I have merely an empty intention towards an object's type, and some of the properties that constitute its qualitative character lie hidden from me, I will not be capable of bringing those hidden properties out of the original or any imaginary example by producing variants exactly similar to my original. Each such variant, if faithfully similar, will carry the same vagaries and empty anticipations as the original. If I do not know what features are present in the first place or those features lack intuitive illustration, imagining examples exactly similar will result in examples that also lack an intuitive illustration of these features. On the other hand, if I produce examples that are not faithfully the same as my original, I have no reason to believe the process is leading anywhere at all. Therefore, variation cannot clarify types, in the sense of completing our partial grasp of them. Imaginative variation is not a fulfilling act towards an anticipated horizon of attributes. Variation is the faithful imaginative replication of some of an object's features, while varying others in a complex whole.

Circularity Resolved: The Limits of Knowledge Based on the Intuition of Empirical Types

Despite the weakness of the solution offered, I believe that the circularity objections can be dissipated. I believe they misconstrue the aim of Husserl's method and the theoretical basis of that aim.

The purpose of the method is to "purify" an already intuited universal and in the process to further uncover the structure of dependence relations in which it is embedded. It is not a method for the intuitive apprehension of universals, or of the apprehension of the elements constitutive of a given universal. It presupposes these possibilities, possibilities grounded in Husserl's account of universal intuition.

Intuiting universals, it turns out, is not the sole province of a priori inquiry as some might have it. Instead, according to Husserl (and most realists), the intuition of universals is an ubiquitous function that plays a vital

role in everything from the meaning of our everyday talk of types, to the systematic investigations into those types we call the scientific disciplines.

It is sometimes supposed that the mere apprehension of universals and their features will yield knowledge of necessity. Thus, by moving from intuitions of individuals to intuitions of universals one moves from the a posteriori to the a priori. This idea is motivated by the traditional objection to empiricism. That objection states that empirical experiences are insufficient to account for our knowledge of necessities. Thus, if we apprehend the abstract forms residing in some platonic realm, the fact that they are eternal and have all their features necessarily will give us the insight into necessity we need (for example, Katz 1998, 36–40 and 190). But of course, so-called empirical sciences concern themselves with universals too, for they study the nature of various sorts of natural objects.

For Husserl it is not just that empirical experiences cannot yield knowledge of necessities because they are always of individuals; it is that the universals that we intuit on the basis of empirical experiences demand empirical experiences of actual individuals for their on-going elucidation. The intuition of a type based upon perception of actual individuals essentially co-posits an empirical sphere of actuality as the place of that type's possible realization in particulars.[8] Constitutive of the concept of an empirical (sometimes called "inductive") type is the acceptance of existence, "whether it be with regard to the objects of the sphere of comparison or whether it be with regard to the total province to which they are thought of as belonging."[9] Consequently, types intuited on the basis of such comparisons have an essential attachment to the actual world.

The difference then between empirical disciplines and a priori disciplines is a difference in subject matter, but that difference is not between individuals and universals, but between one sort of universal and another sort; between empirical types and what Husserl calls "pure" types. On this account pure types are proper parts or subsets of empirical types. They are reached when the attachment to the actual world is removed from the empirical type. These "left over cores" of empirically gathered universals make up the subject matters for the a priori disciplines from Mathematics to Law to Phenomenology.

Two characteristics of this attachment to actuality are of particular significance for our discussion. They concern what might be called the epistemic essence of our empirical concepts and their respective types. The first is that intuitions of empirical types, natural kinds for example, necessarily present those types inadequately and thus as open to further determination by way of subsequent experience. The second is that the nature of

each empirical type is wholly rooted in the properties and unity of actual objects and thus, only actual instances can inform, confirm, or falsify one's beliefs of those types. I will discuss these in turn.

Openness to Further Determination

According to Husserl, a universal intuited on the basis of two or more like individuals is presented not just as a determinate universal, but always as a yet further determinable universal. The apprehension of such a type is always presumptive, referring beyond what is intuitively presented, just like the intuition of the individual it is based upon. Much of each perceived individual remains emptily intended. Yet, these partial presentations do not remove the possibility of universal intuition. Their inadequacy points to a "horizon" of further experiences that will fill out the empty intentions directed towards their objects. For example, while I perceive a large cockroach scurrying across my office floor, I perceive an insect only some of whose parts and properties I am intuitively presented with. I presume there is "more than meets the eye," that can be determined about this cockroach. I perceive the insect as something that I might continue to perceive in such a way as to reveal more of its parts and properties. Any universal that is intuited on the basis of this and several similar cockroaches retains this non-intuitive, yet anticipatory sense. That is, the type [Cockroach] is essentially presented as the type of a number of actual and actually possible creatures whose nature is yet to be wholly revealed, but which can be pursued by way of further instances.

This sense, that there is more to learn not just about this cockroach but of cockroaches in general, is an essential component of our experience of any type intuited on the basis of actual instances. The idea that my concept of cockroaches can be modified, expanded, or diminished is a corollary of this feature.

This brings me to the second point. While empirical types are open to further determination, they are so only through experiences of actual individual instances of those types. Husserl writes,

> Thus, empirical concepts are changed by the continual admission of new attributes but according to an empirical idea of an open, ever to be corrected concept which, at the same time, contains in itself the rule of empirical belief and is founded on the progress of actual experience. (Husserl 1973a, 333)

The development of our concepts of empirical types is dependent on actual cases, and that means dependent upon empirical experience. For example, the universal that we intend when we think of actual animals, is wholly rooted in the properties and unity of actual animals. Thus, the properties meant by thinking of, e.g., dogs, are those very properties that make each individual dog what it is. Thus, dogs are the actual "dog-like" things of my acquaintance, whose whole essence I may not be familiar with, but at least some of whose instances I am, and in fact must be to have an intuition of the type Dog.[10]

In contrast, merely imagined fictitious un-real species are not additional kinds of things, and as such, do not affect the unity of our empirical concepts. Epistemically, discovering a new animal species is a totally different exercise from inventing a new animal species. Imagining talking dogs does not establish another sub-species of dog, and imagined experiments on dogs do not inform one as to the properties of dogs. Merely imagined individuals alter neither the sense nor the extension of the empirical type. Only actual instances can do that.[11]

Pure Essences

Husserl's proposal is that this attachment to actuality present in our empirical concepts can be sidestepped, and the value of merely possible but non-actual cases (and hence, thought experiments) can be enjoyed. But more importantly, Husserl's suggestion is that only by removing this attachment can the modal knowledge constituting the a priori disciplines be acquired.

> The seeing of universalities therefore has a particular methodic shape wherever the point is to see an a priori, a pure eidos. For example, it is then a question not of something common to this and that factual color and possibly of optional colors which might ever confront us in this space here on earth, but of the purely ideal kind, "color" which is common to all colors which are at all conceivable without the presupposition of an factual actuality. (Husserl 1977, 64)

"Pure" essences stand in contrast to empirical types in several respects. The extension of a pure essence is not limited to the actual world. Pure essences do not depend on actual instances for their becoming known or conceptualized, merely imagined a fictitious cases will do. It follows that

merely imagined and fictitious colors and sounds are species of colors and sounds. A fictitious tool is a species of tool, and a fictitious element is a species of element taken purely, in some possible world for some possible culture and on some possible periodic table, respectively.

In response then, to the first charge of circularity, while it is absolutely true that an intuition of a universal is required to get the process of free fantasy started, this does not entail a methodological circularity. Far from being an objection, it is demanded by the method that one begins with an intuited instance of the type they wish to investigate. In this sense, one clearly has to have an acquaintance that is akin to knowledge in order to begin the methodological process, but that acquaintance or knowledge is not of a "pure" essence or the essential necessities that obtain for it. According to Husserl, it is an acquaintance with an empirical type that is yet to be taken up in the right way and "purified." This objection misconstrues the role of the method. While Husserl holds that upon the basis of any number of like objects, intuitively presented through imagination or otherwise, a categorial intuition of the universal common among them is always possible, the primary purpose of the method of free fantasy is to detach one's empirical concepts from their tie to actuality. It is not a prescription for intuiting types from the start.

There are, of course, general pitfalls associated with choosing examples for the sake of scientific investigation. Thus, it is important that the examples one begins with are truly examples of the type one wishes to investigate. This is true of any scientific investigation. An investigation of a bad example might lead one astray, but this possibility is not an inherent flaw in the scientific or eidetic processes. It merely points to the necessity for clear cases for the sake of any investigation.

The problem with the second charge of circularity, the charge that we have to presume some knowledge of the type in order to know when an imagined variant is an example of that type or not, is that it misconstrues the role of the type being investigated in the production of variants. An intention toward, or even an intuition of, a type does not determine the inclusion or exclusion of variants from the process of free fantasy. Husserl's demand is that each variant be "concretely" and exactly similar both to the original and to every other variant. That their respective features or moments coincide means that the relation of exact likeness determines whether an item belongs among variants of the same type. It is not necessary to determine independently if imagined cases are cases of the same type as long as they coincide with respect to the property instance or complex of instances that has been singled out in one's initial intuited example. This requirement of

the method excludes imagining a set of objects with little more than family resemblances, since each example is capable of serving equally well as proto-type for the others. Since the method is guided by an intuitively present example and the recognition of exact similarity between that example and additionally imagined variants, circularity does not arise.

The Induction Problem

It has also been argued that due to the finite number of variants one can hope to work with, any extrapolation to the essential features of an object is at best an inductive generalization (see, for example, Levin 1968, Zaner, 1973a, Mohanty 1989, and Cobb-Stevens 1992). The reason is that no matter how many variants one has considered, one never has every possibility, and thus, cannot pronounce on the basis of some finite number of cases what is essential to every actual and possible example of the kind under investigation. For example, if all of the examples of persons I imagine are language speakers, then linguistic ability would appear to be essential to persons, for it would appear as an invariant among the multiplicity of persons I had imagined.

Furthermore, Husserl's claim that the process of variation must proceed with the sense that one can break off the production of variations at any time is seen to be especially problematic. It indicates, according to David Levin, that one can break off the process of forming variations prior to running through every possible variation, and thus, before necessity can be guaranteed.

> The process of eidetic variation, as he [Husserl] sees it, proceeds by absolutely arbitrary exemplars, mere possibilities. He therefore thinks the series of variations, which in principle could go on ad infinitum, can be terminated at any point, provided only that there have been enough variants to engender a satisfactory eidetic congruence. (Levin 1970, 8)

Naturally the question arises, "with what justification can Husserl proclaim the adequacy of eidetic insight when the method of variation is terminated before the gamut of possibles has been run through?" (Levin 1970, 8). Levin's specific criticism here is directed at the potential for adequacy and the certainty that would seem to follow from it, but it just as well functions as a criticism directed at the possibility of apprehending general necessities.

This critique is widely accepted to be valid and even seen as a virtue of the method, many pointing out its compatibility with a criteria of reflective equilibrium, and its ability to account for error in a priori thinking (see Levin 1968, Zaner 1973, Mohanty 1989). Furthermore, in light of this objection, several authors sympathetic to the method have reinterpreted it, modifying its aims and results. I will discuss some of these options now.

Cobb-Stevens's Aristotelian Solution

Richard Cobb-Stevens tries to work with Husserl's solution. He emphasizes that "what matters is that the manner of variation should be such that not only do we have the sense that the process could go on indefinitely, but that it would be fruitless to continue" (Cobb-Stevens 1992, 267). Upon what basis this sense of "fruitlessness" is grounded Cobb-Stevens does not take a stand. Instead, Cobb-Stevens offers an Aristotelian answer to the problem of when and why to stop the process of variation.

> Neither Aristotle nor Husserl attempt to provide anything like a clear-cut rule for deciding when the intellect should "take a stand," or when the process of "free variation" ought to come to an end. They tell us only that there comes a point in any inquiry when it is reasonable to conclude that there are no further pertinent questions to be asked. It is then imprudent or even pathological to continue to consider alternative possibilities. A sense of the mean between extremes is as necessary in intellectual inquiry as it is in practical affairs. (Cobb-Stevens 1992, 268–9)

If, at a certain point, it is imprudent or even pathological to continue the process of variation, this can only be due to the rational consciousness of some fact or feature that makes it imprudent. Without an account of what that consciousness consists in, and what fact or feature becomes apparent, Cobb-Stevens's suggestion is phenomenologically unsatisfactory, though not necessarily false. The Aristotelian criterion of the mean with respect to reasonableness only has value if that something is in fact reasonable and apprehended as such. The inductionistic approach simply claims that it is not. It is up to the Aristotelian to explain how a finite set of variations may be reasonably sufficient for an intuition of a pure essence and essential necessities common not to just the cases considered so far but to every actual and possible object that has that essence. In light of the gap between the examples one actually considers for the sake of identification and the

infinitely large number of examples they have neglected, it is not obvious how this approach will succeed.

The "Take Stock Along the Way" Interpretation

Some critical commentators see the insuperability of the induction problem as a virtue of the method. They interpret Husserl's comments merely as a rejection of absolutism about truth and knowledge of essences and essential necessities. The fact that the process of variation proceeds ad libitum, Mohanty suggests, allows us to stop and "take stock of the invariant structure that has emerged along the way" (Mohanty 1989, 27). The clarification of an essence, as well as the apprehension of necessities, is an achievement that is always presumptive and never complete.

Obviously it is possible to take stock of what is common to some finite number of imagined examples. The problem, however, is that taking stock means realizing that your knowledge is but a rough guess. Consequently, the central components of the critique of psychologism can be leveled against this view. The sense of necessity and the other modalities is never fulfilled or fulfillable on this account. Quite simply, this account fails to explain how necessities appear as necessities. Some are satisfied with this conclusion, denying that there are such modal facts to be had, and even denying that Husserl believed there were either (Føllesdal 1991 and colloquia presentations at UC Irvine in 2000). This sort of Neo-Quinean eidetics need not be maintained as an account of our modal knowledge. For, besides the fact that it simply denies the possibility of such knowledge, it is predicated upon a common, yet mistaken assumption: that the induction problem is real.

Rejection of Induction and Extensionalism

There is a problem with the initial charge of inductionism that motivates the maneuvers above. The inductionistic critique presupposes that the acquisition of general modal knowledge must be extensionally grounded. The whole basis for pointing out the inadequacy of induction is the presupposition that no number of individual cases (whether real or imaginary) can provide one with what is common to, or true of, all possible cases. Clearly, this is true just as much for empirical generalities based on actual instances as it is for "pure" generalities based on possible instances. The problem for Husserl's method is that even though it provides a criterion

for possibility (i.e., imaginative intuitability), it lacks a criterion for when all possibilities have been taken into account. That problem, however, is only a problem for one who thinks general modal knowledge depends on purveying all the instances (whether actual or possible). I think this is a mistaken assumption.

An indication that extensionalism is on the wrong track is that it becomes increasingly difficult to see what is essential once we are dealing with higher categories of object. The simple reason for this is that more general categories have more kinds of exemplifications. If the acquisition of pure essences were dependent upon an extensive purview of the possibilities, then it would seem that higher levels of generality would require far more examples than lower level generalities. But just the reverse is often true. Commonly, the more general a necessity, the easier it is to apprehend. For example, it is easier to realize the transitivity of parts and wholes than to realize whether minds depend upon bodies. It is also easier to discover that shape and size are inseparable than it is to discover that the square of the hypotenuse of a right triangle is equal to the sum of the square of the other two sides. The more general a category, the more differentia fall below it, and the more possibilities that exemplify that type there are. While this is no knock down argument, it inclines one to think there is something dubious about the inductionistic assumption.

There is also a more serious objection to the inductionistic account; namely, that it fails in principle to provide for the possibility of knowledge of necessity. Consider the situation for an observer or imaginer who, by whatever recourse, does have every instance of a certain kind presented before him. According to the inductionistic view this is the only sufficient condition for knowledge of necessity. The problem is that a cognizer in such a situation still could not determine which properties are essential and which are not. The reason is that being intuitively presented with the total extension of a kind does not establish which properties are essential to those presented objects. It establishes at most that every object presented shares something in common. Examining the totality of objects for common elements, however, will not help. For even if one could determine that all of a given set of instances of red considered share in common the properties a, b, and c, this does not entail that a, b, and c are essential to either those instances of red or every instance of red.

Of course, if one knew that *every possible* red moment is a, b, and c, and conversely that no possible red moment lacks a, b, or c, then one should be able to conclude that every red moment is necessarily a, b, and c. However, this response presupposes what it sets out to establish. In order to establish

that one has every possible instance of that kind requires grasping what is essential to that kind, and grasping it as essential. Given the complete set of possible instances of a given universal does not help unless one can realize that they have the completed extension.

But how might that be determined? The converse claim above provides a clue. To determine whether or not a possibility is being left out of some extension of imagined examples can only be resolved by attempting to consider cases that fall outside of that extension; that is, in the example above, to consider whether it is possible for a red moment to exist without its being bound up with some moment a, b, or c. One who purviews unknowingly all the possibilities, and then wishes to know whether a property common to them all is essential to them all, needs to know if every case has been considered. Their only recourse is to see if an instance that falls outside the extension is possible, i.e., they have to look for a counterexample. On the Husserlian account this will simply amount to an intuitive presentation of that counterexample as produced through the process of imaginative variation.

More generally, if every object W (a, b, c . . . n) in a given extension is n, then one will have to consider whether something W (a, b, c . . .) without n is possible. If one can imaginatively isolate a property from its object by way of variation then they establish the contingency of that property. That is, one sees by way of variation whether a suitable counterexample can be found or not. If the attempted isolation fails, or better, results in the extinction of the subject, the property is essential. The apprehension of modal properties may be founded upon the intuitive presentation of possible individuals, but it is not a judgment about them, no matter what quantity of them one is presented with.

The extensionalistic approach to the method of free fantasy then has misconstrued the role of the variants in Husserl's method. It treats the variants as data whose common features are to be revealed. In contrast, variants, by prescription, have a coincidence of like features, features that are intuitively present in each case to the same degree. In this sense the features in question could not be more revealed. The reason is that the aim of the method is a purification of the type and not a discovery of the type. The ability to recognize properties, make distinctions among them, and discover their own complex qualitative makeup, while important epistemically, is not the same thing as recognizing the necessary connections that those properties bear to one another and their component parts. It is only with the purification of a type that its modal relation to other associated types, can be investigated, and their necessary structures exposed. Thus,

it is only with the pure type "color" in hand that I can begin the process of determining the sorts of dependence relations that obtain between color and quality, space, extension, materiality, motion, etc., and thus the sorts of a priori necessities like "every colored object is extended" that constitute the "pure" eidos and essential necessities of the mentioned types.

Revisability, Apodicticity, and Error

As I mentioned above, for some authors, the concerns that generate the inductionist argument are part of a more general critique concerning the adequacy and apodicticity of our knowledge of essences (for example, Zaner 1973a and Levin 1968). They accept the inductionist assumption that the finite number of cases that are produced in the process of variation fail to provide insight into the essence and essential necessities as true of all actual and possible cases. They then reason that the same sort of probabilistic evidence one has in empirical induction is shared by this sort of a priori induction. Consequently, they argue that every modal claim is revisable in light of future evidence. This is the extent to which these authors can align themselves with Quine's similar maxim. Thus, they too, hold a sort of "take stock" account of essences. According to Richard Zaner, the inherent inadequacy of the eidetic method means that any stand taken on the basis of free variation is "subject to deception, modification, revision and even denial—in short, continual criticism" (Zaner 1973b, 216). Therefore, he concludes that a "tentativeness" or "open availability" turns out to be "*a formally necessary characteristic* of every epistemic claim, most especially eidetic ones" (217). Consequently, "the rigid fence traditionally placed between the eidetic (or a priori) and the empirical (or a posteriori) is in serious disrepair, if not a wholly chimerical one" (1973a, 42).

It is important to note that, as stated, these concerns only apply to the results of eidetic researchers with finite capacities. In principle, and even according to the inductivist's own assumption, an ideal imaginer could determine what is necessary. Thus, their skeptical conclusion only follows for an investigator of limited capacity.[12] However, as I attempted to show above, this concern over adequacy is not necessary. The claim of inadequacy depends on the inductivist interpretation rejected above. If their reading is wrong, and can be replaced along the lines I have suggested, then the basis for concern can be lifted too.

There still may be grounds for tentativeness with respect to eidetic claims, but these grounds are not rooted in the subject matter or the method of

knowing, they are the result of the possibility of an imperfect performance on the side of the would-be knower. This difference makes all the world philosophically. For, no one would deny revisability theses when all they say is that "we can never be sure" or "we may have made a mistake." But it is entirely something different to say that no claims are verifiable or falsifiable.

Individual persons can be less than ideal investigators in many ways. Damaged faculties of perception, imagination, judgment, etc. may prove difficult to overcome for any method for acquiring knowledge. Prejudice, impatience, and other psychological conditions pose equally troublesome contingencies. Furthermore, as John Scanlon remarks, no method is "an infallible safe guard against ignorance" (Scanlon 1997, 171). If my abilities to imagine are poor, my examples are dubious, and my attention and concentration weak, then most likely I will not achieve an insight. If on the other hand, I am a capable thinker, practiced at eidetic insight, well experienced with my subject matter, and with a good imagination, modal insight becomes more likely. Husserl himself acknowledged that an excellence in fiction aids and in fact is necessitated by the method prescribed here; a fact Husserl notes, "as a quotation, should be especially suitable for a naturalistic ridiculing of the eidetic mode of cognition" (Husserl 1983, 160). My psychological condition, however, has no bearing on the validity and necessity of this process for the possibility of a rational eidetic intuition or the epistemic quality of that achievement.

In closing let me suggest that consistent with these and other concerns over sources of error, and in light of the defense of Husserl's method made above, we can agree with Mohanty that "by *intention,* however—and this is the point of the phenomenologists' exaggerated claims—in case an essence has been discovered, such discovery must be apodictic" (Mohanty 1989, 29). Just in case one comes to see a necessity, then, contrary to Zaner's statement, it is a formally necessary characteristic that one's insight is not subject to continual criticism and revision in light of future evidence. Consequently, the fence "placed between the eidetic (or a priori) and the empirical (or a posteriori)" is significantly and justifiably supported by Husserl's rationalism and his method of free variation.

Notes

[1] My exposition of the method is as expressed in Husserl's 1925 lecture on *Phenomenological Psychology* and, of course, included in the posthumously published *Experience and Judgment* that includes excerpts from that lecture.

[2] As Aron Gurwitch puts it, any actual object can be regarded merely as an "actualized possibility" (Gurwitch 1949).

[3] It is this role of imagination that establishes one sense of independence from experience that "a priori" truths are to have on Husserl's account. The other sense that Husserl enjoins to this one is the sense that a priori affairs prescribe the conditions for the possibility of experience and knowledge of their respective objects. This latter sense will not be discussed here. See Husserl 1973a, § 90 for a discussion of this sense.

[4] This does not mean that the examples will have their materiality essentially. Establishing whether that is the case is determined by way of further variation over more general types.

[5] See Husserl 1977, 34.

[6] See Husserl 1973a, 342.

[7] Robert Sokolowski makes the same point in Sokolowski 1974, 81–2.

[8] A type intuited on the basis of several actual instances is a type whose extension initially corresponds to the actual number of particulars compared and judged from. Through various acts the extension is almost always broadened. Yet, even when broadened to include actual and actually possible particulars, universals derived from actual experience retain an essential attachment to the actual world.

[9] Husserl interchangeably talks about the empirical concept and the empirical types. Clearly, these are two different categories. To clarify, the empirical type is the universal intended by way of the empirical concept. See Husserl 1977, 63.

[10] Or at least someone must be, so that I can derive the concept from that someone.

[11] According to Husserl our concepts of Empirical types aim towards, and in time, approach the real scientific essence of the types and individuals in question.

[12] This is another significant difference between these and the Quinean view. For a Quinean the revisability thesis holds for ideal knowers.

Chapter 3

The Body as Noematic Bridge Between Nature and Culture

Luis Román Rabanaque

Introduction

Husserl's focusing on the body and on its relationship both to things and to soul or spirit seems to have begun at the time of the transcendental turn. The Cartesian reduction of the *Logical Investigations* had to exclude the body from analysis in virtue of its being transcendent to the flow of immanent givenness. But by 1907, as the lectures on *The Idea of Phenomenology* witness, Husserl had already discovered the weak side of this Cartesian reflective procedure, namely, the silent identification it makes of *immanence* with *evidence*. Husserl shows now that transcendent data *are* evident insofar as they are given *as* intended through what is really immanent or, as he will often put it later, transcendent things may be phenomenologically focused on as transcendences *within* immanence. This means, in turn, that the body can be analyzed *qua* intentional givenness, that is, without relapsing into constructions or suppositions of a metaphysical kind concerning a "thing in itself" beyond experience. Consequently, the lectures on *Thing and Space* that followed those of *The Idea of Phenomenology* explicitly deal with the question of the body (see Hua XVI, especially § 47 and 83). Both the analyses of the sense-fields as two-dimensional extensions and the descriptions of the kinesthetic system as ruling the sequence of those extensions, also operate with the concept of the body, which Husserl briefly characterizes at one point (in § 47). In the third and fourth sections of the First Book of the *Ideas*, which deal with the question of the noema, Husserl is mainly concerned with a phenomenology of reason, where sensuous perception is highlighted as the source of, and justification for, evident knowledge, and thus the topic of the body, as well as of intersubjectivity and temporality, tends to remain in the background. In the Second Book (*Ideas II*), however, the rather general outline of the noema gives way to a more concrete and differentiated description. Husserl takes up the question again in the

Lectures on Nature and Spirit of 1919 (Hua-Mat. IV), and also in the Lectures on *Phenomenological Psychology*, in the Fifth *Cartesian Meditation*, and finally in the *Crisis*.

The aim of this paper is to sketch some relevant features of the *noematic sense of the Body* in connection with the distinction between nature and culture, and with two major problems that are implied in this description: on the one side, the question whether nature and culture are two different realms ("two worlds") or two regions within one and the same world and, in that case, how they are related to one another; on the other side, the question whether one's own body is a region distinct from nature and culture, as Husserl assumes in the *Ideas* (so, e.g., at the beginning of the Third Book), or whether it is a "bridge" between nature and subjectivity, as he claims in the *Lectures* of 1919, published in 2002 as volume IV of the series *Husserliana-Materialien*.[1] The importance of these lectures lies in the fact that they are somehow midway between the (mainly) static approach of *Ideas II* and the standpoint of the *Crisis*, after the genetic turn. Although they introduce the question of the body, like *Ideas II*, in connection with the problem of the foundation for the cultural sciences, they also explicitly refer to the *Lebenswelt*, to the lifeworld, and even sketch the problem of scientific idealization that will be dealt with in the well-known § 9 of the *Crisis*.

Some Methodological Remarks

We may begin by recalling the general framework within which Husserl introduces the question about nature and spirit in both *Ideas II* and the *Lectures* of 1919 (for a more comprehensive framework, in which several approaches to the body in *Ideas II* are disclosed, see Behnke 1996, 137–139). The primary goal of these analyses is to provide a phenomenological grounding for the differentiation of thematic fields in the factual sciences, much in the spirit of Dilthey's distinction between *Naturwissenschaften* and *Geisteswissenschaften*. Husserl attempts here to describe the regions of "nature" and "spirit" after the way their "objects" appear in the world of our everyday experience, since these regions are in turn taken for granted in scientific investigation and make up its starting point. Methodologically speaking, he examines, from the transcendental standpoint, the natural attitude towards the world in one of its species, the scientific attitude, and the latter in turn in its two subspecies, namely the naturalistic and the personalistic attitudes. It is apparent that both kinds of *Wissenschaften* restrict the thematic field "world" in a

specific manner. The naturalistic attitude focuses on natural "things" and highlights properties like spatiality, time and causality, while the personalistic attitude focuses on meanings, purposes, values, etc., and also on the subjectivities who "produce" those predicates. These descriptions raise the question as to how these noematic regions are *connected*, and how cultural properties are related to natural properties, and it is precisely here that the *body* comes, or rather *must* come, on stage.

Nature and Culture

After a preliminary discussion of some general topics concerning the intentionality of perception, the *Lectures* of 1919 begin the analysis on nature and spirit from a *noematic* point of view. Husserl focuses on the originary way in which the objects present themselves in the "world of pre-theoretical consciousness." At this point the role of the body is methodologically set aside. What at first sight appears and can be reflected upon is a world of *things* and *subjects* (Hua-Mat IV, 118). Husserl points out that natural things have *real* predicates, while subjects and cultural things have *significance* predicates, and he argues that the latter are founded in the former (Hua-Mat IV, 125). In fact, closer inspection discloses for both things and subjects a constitutive system comprised of levels and strata within the levels, the elements of which are in turn connected by relations of foundation.

The analysis of the thing-constitution summarizes much of what Husserl had previously written in *Ideas II*; it provides, however, an overview on the whole of "nature." Anything that can be identified as a thing has, at the very bottom of its constitution, a basic level, wherein three strata are set in a hierarchical order: (a) A temporal stratum: every thing is extended in time, has a duration and also a "place" within objective time, which is the time that we can measure; in this respect, it is *res temporalis*; (b) a spatial stratum: over against subjectivity, a real thing is spatial and has a "place" in objective space; in this respect it is *res extensa*. Unlike Descartes, Husserl distinguishes a lower stratum of "extension" proper, namely, the spatial *form*: figure and place, from an upper stratum of spatial *content*: color, sound, roughness and the like; the unity of temporal and spatial form, together with their contents, constitute what Husserl calls a "phantom"; (c) a material stratum properly speaking, that of the *res materialis*, under which two kinds of essential properties fall: on the one side, those which make up the thing's "substantiality," on the other, those which "causally" relate the thing to other things, that is, properties like weight, deformation, elasticity,

resistance, and the like (Hua-Mat IV, 130). They are the primal forms of those exact properties isolated by physical science (Hua-Mat IV, 182).

This level of materiality is inherent to all things prior to any further differentiation. Now it is clear that not every natural object is merely a "thing" in this elementary sense. Some things also appear as "animate" things, they are animated organisms or living bodies, with which is intertwined a soul (in the case of animals), or an Ego (in the case of persons). In *Ideas II* Husserl had carried out very detailed analysis on these topics; in contrast, the *Lectures* of 1919 provide a rather brief overview. If we take as a clue the constitution of ourselves *as* human beings in the world, we may distinguish three levels founded one upon the other: (a) the animal physical organism; (b) the animal living body as sensory body (*Sinnenleib*); and (c) the animal soul ("psychic Ego" in *Ideas II*), that is, the course of experience (Hua-Mat IV, 212). Each one of them needs to be studied by a scientific discipline and a correlative phenomenology. Thus the human being as an organism is object of a physical zoology, which in turn is related to a phenomenology of physical thinghood. The human being as a living body should be studied by a "somatology" and not, as Husserl observes, solely by a physiology understood as the application of exact physics to the particular case of the body. It is correlated with a phenomenology of the body. Finally, the human being as a soul or subject is the object of scientific psychology and of a phenomenology of the psychic sphere (Hua-Mat IV, 185–186).

The shift to the personalistic attitude lays bare objects of a different kind, whose being is not *only* Nature, be it physical or psychophysical, but also *Spirit, Subjectivity*, that is, intentional consciousness (Hua-Mat IV, 131–132). Now the title "subjectivity" includes two different kinds of "objectivities": on the one hand, the subjects themselves, i.e., the streams of consciousness centered each in an actively constituting Ego; on the other hand, the correlative achievements or "products" of their activities. Subjects, in turn, can be either individual Egos with their courses of experience habitually directed to a world, that is, "persons," or associations of (individual) subjects, i.e., "personalities of a higher order." The former are bearers of singular acts, whereas the latter bring about social acts (Hua-Mat IV, 134). The correlative "things" of this operating subjectivity are more appropriately called "works," and the corresponding ontic region, "culture" (Hua-Mat IV, 122–123). Cultural things can then be described as substrates of significance predicates, which in turn include the theoretical, the valuational and the practical kinds (Hua-Mat IV, 122). (Concrete analyses of these kinds of cultural predicates may be found in Embree 2003 and Embree 2004.)

In the course of this analysis of significance-predicates, which belong to cultural objects of the world, and real-predicates, which belong to natural objects, Husserl also advances some important ideas about their mutual connection. To begin with, he observes that in our pre-theoretical, everyday life, that is, prior to any engagement in theoretical attitudes like the naturalistic and the personalistic, we encounter almost exclusively *cultural* objects, and not purely natural things. In connection with this, Husserl speaks in the Introduction to the *Lectures* of 1919 about the "relativity of nature to spirit" (Hua-Mat IV, 10). At the same time, he claims that the natural and the spiritual realms form an "intimate unity," "from which the two-sidedness of the questions originate" (Hua-Mat IV, 11). And he further claims that cultural and natural objects are *not* different kinds of "substances," that is, they do not belong to separate and independent "realms" of reality, but they are *moments*, that is non-independent parts, within a unitary whole, the *one* world. These moments are *founded* one upon the other, namely the cultural upon the natural one (Hua-Mat IV, 124), and more precisely in the way of a one-sided foundation (see Hua XIX/1, 270–271; Husserl 2001a, 27–28). This means that cultural characteristics cannot appear without a natural "sub-strate," whereas natural things can, in principle, be given in absence of any significance-predicate. Thus someone who is not an anthropologist may well not see an Indian stone-arrow as an *Indian arrow*, but he sees it nonetheless as a *stone* (Hua-Mat IV, 127, emphasis mine). The pure natural object is therefore implied in the full-fledged cultural object, although its natural properties are normally not attended to in the course of everyday experience. Temporality, spatiality and materiality yield noematic structures that lie implied in the perceiving of things like tools, machines, toys or even works of art, but the primary interest of the effecting Ego is not directed towards them, but rather to their cultural aspects, e.g., as "useful" or "useless," in connection with ends or means, as "desirable," "attractive," or "repulsive" with respect to desires or (intentional) feelings, etc.

Functions of the Body as Noematic "Bridge"

Thus far this account remains fragmentary in so far as the following questions still need to be answered: *how* are the regions or levels of nature and culture *founded* upon each other; and *how* are they bound to *subjectivity?* The major claim here is that in both cases one's own body plays an essential role (Hua-Mat IV, 182), and it does so by virtue of its peculiar constitution or, noematically, by its peculiar manner of appearing. Let us first summarize

the main features which intentional analysis discloses with regard to the constitution of one's own body.[2] In order to indicate the unique way in which my own body appears, Husserl draws on the two German words that can be rendered in English as "body": *Körper,* which comes from the Latin *corpus* (see English *corpse*), and *Leib*, cognate of the German word *Leben*, "life." Unlike any other thing, be it natural or cultural, one's own body appears at the same time as a thing of nature and as something that "belongs" to my Ego, as its "organ." (Husserl is considering here, as well as in *Ideas*, or later in the *Crisis*, the word *organ* in its Greek sense of "tool.") *Körper* is correspondingly assigned to the body-thing and *Leib* is used for the animate organism or living body.

On the one hand, the body as *Körper* "is in a certain way a thing among other things" (Hua-Mat IV, 182), in so far as it appears as extended in time (it is perceived as enduring, and as having a place in objective time), in space (it is perceived as having a certain figure or shape, a volume, some colors, etc., all given in adumbrations), and it also interacts with other things (it can be moved, pressed, deformed, etc.; else it can withstand movement, pressure, deformation, etc.). That is, it could be described from the point of view that Husserl labels as the naturalistic attitude. But the body is nevertheless an *anomalous* thing, since, in contrast to any other thing, it is always *co-perceived* in every perception, it cannot be *fully constituted*, in the sense that not every possible adumbration of it can be actualized, and it does not appear "in" the field of perception, but it is rather its nearest limit or, better, the central or *zero point* for all orientations in time and in space. This means that my "body-thing" is always "here" and "now," it can never be "there" or "then"; furthermore, any spatial (and temporal) orientation essentially refers back to it; in my primordial experience anything that appears in my perceptual field is perceived as located *at the left, straight ahead, near or far*, and these orientations only make sense as directions *from* or *with regard to* the zero-position of my body: thus "at the left" primarily means "at *my* left," "near" means "near me," and so on. There is another fundamental implication, that Husserl does not mention either here or in *Ideas II,* but in the famous manuscript D 17 written in 1934, and published by Marvin Farber in 1940. In the course of an analysis of the *basis*-function (*Boden*) of the Earth in life-world experience, in contrast to its Copernican understanding as astronomic body, Husserl observes that the Earth in this function, *as* basis, does not "move," but is the zero point for the constitution of bodily movement and rest (of *Körper*) (see Husserl 1940). Now one's own body in the primordial experience plays a similar role: if taken as a *whole*, and in contrast to the rest of the bodies, including the living bodies

of Others, my own body does *not* move. Although its parts can individually move or be moved, one's own body as a whole appears "motionless," and this "motionlessness" is precisely what makes it the (inner) limit of movement in the world. [3]

On the other hand, being the zero point of orientation is for the body something that clearly goes beyond its constitution as a *mere* thing, and the particle "*my*" in sentences like "that desk is at my left" already points to the subjectivity for whom one's own body is the center or limit of temporal and spatial orientations. This brings us to the other way in which one's own body appears: as *Leib,* as the subject's living "organ." In the *Lectures* of 1919, Husserl observes that the living body is the "underground of spiritual life" (Hua-Mat IV, 122; he had already used this expression in *Ideas II*; see Hua IV, 334), and here the following strata are recognizable: a) a lower stratum whereby the living body is bearer of sensations, that is, "organ of perception" (Hua IV, 56), and which includes not only the sensation-fields but also sensed affects (*sinnliche Gefühle*) and drives (Hua-Mat IV, 183). In *Ideas II* he had labeled this stratum "aesthesiological body" (Hua IV, 284). Although scarcely mentioned here, this is, incidentally, the realm of primary passivity governed by passive associative syntheses; b) an upper stratum whereby the living body is "organ of movement." There is a clear difference between moving a mere thing, where only mechanical displacement is involved and the processes are ruled by causal laws, and the movement implied in the "I move." The first case, of course, also concerns my body, insofar as it is a physical thing that can be causally moved, but the movements of *my* living body, whether voluntary or involuntary, are at the same time displacements of "me" (see Hua-Mat IV, 184). In *Ideas II* Husserl had termed this stratum "volitional body" (Hua IV, 284). If we now take both strata together, we can see that our own body is given to us *qua* Leib as a "system of sense-organs." The "component" organs possess an aesthesiological stratum, which is in turn related to, or articulated with, a movement stratum.

At this point Husserl states that the living body, comprising both strata of sensibility and movement, is "the connecting bridge (*verbindende Brücke*) between subjectivity in the world and physical thinghood in the world" (Hua-Mat IV, 186). What is the sense of this being a *bridge*? Is the living body a *part* of the natural world? Is it a constitutive level between nature and culture? Or a kind of "hybrid"? The answer to these questions is certainly not easy, and it is furthermore associated with the clarification of the relation between nature and culture. Whereas the text of the *Ideas* suggests that *Leiblichkeit* is a "region" of reality, over against both nature and subjectivity (so, e.g., Hua V, 1/Husserl 1980, 1),[4] this bridge metaphor in

the *Lectures* seems to suggest that the body is rather a constitutive "midpoint" between *extensio* and *cogito*. If this is the case, then the living body *qua* connecting point between nature and subjectivity must share features common to *both* regions. Now we can take up the results of our previous section and characterize the "bridge"-function of the body in its twofold constitution as follows.

As to the body as natural thing, one can say that:

(1) The body *qua* thing is *immediately* inserted in the natural world by sharing its temporal-spatial-material features, whereby it is a thing among things; in turn, the anomalous side of this resemblance shows up in the basis-function of the body;
(2) The body allows the subjects to have *mediately* insertion in the natural world. Subjects, which taken in themselves are not spatial, receive a "location" in space through the body-thing (Hua-Mat IV, 121). By means of this mediation, Husserl says, subjectivity gains a quasi-temporality and quasi-spatiality (Hua-Mat IV, 214).
(3) Through these properties, it becomes the zero point of temporal and spatial orientations and, correlatively, it turns out to be the inner limit of perspectivation in the perceptual field.

As to the body as living body one can add the following:

(1) The body as the subject's "organ" makes it possible for the latter to experience the world by means of two essential strata, sensibility and mobility. In the former case, which concerns the aesthesiological body, the sense-data are located in the body in the sense that the particular kinds of data are related to specific "organs" (like visual data are related to the eye). Some kinds of data, like visual and tactual data, are able to assemble together in sense-fields, while others, like smell or taste, are not. They provide the noetic "material" for the constitution of noematic *phantoms* in the aforesaid sense, that is, of spatio-temporal figures filled with qualities. At the same time, they allow a certain self-reference of the body, insofar as they constitute the body in a peculiar two-sidedness as sensing *and* sensed. Although not alluded to here, the connection between subject and nature in this respect is further related to *affection*, as an illuminating passage from a Supplement to *Ideas II* clearly states: ". . . affection belongs quite certainly in the sphere of nature and is the means of the bond between Ego and nature. Moreover, the Ego also has its natural side" (Hua IV, 338 / Husserl 1989, 349).

(2) On the other hand, the case of the volitional body in the primordial experience also displays a complex structure of layers, since it involves a lower sub-stratum of mobility bound to the sense-fields and ruling the passage from one adumbration to the next one, and a higher stratum, properly speaking volitional, related to the mobility of the "Ï can." The lower stratum is associated with the kinesthesia, that is, with the coordinated system of potential and actual movements of the Ego by means of the body, whereas the upper stratum refers back not only to the Ego of actions (*Handlungen*) in general, but especially to the Ego as capable of producing effects in the surrounding world, that is, as "producer" of cultural works, of things bearing cultural meanings. At one time in the *Lectures* of 1919, Husserl incidentally uses the expression "poietical acts" (*poietische Akte*) in this sense (Hua-Mat IV, 104).

One's Own Body and Intersubjectivity

Now these stratified levels of constitution refer, or apply to the whole of concrete experience, of which the egological world is only an abstractive part. It is therefore necessary to consider the transformations that nature, body, and culture undergo when upper levels of constitution are taken into account. This concerns, first of all, the level of *intersubjectivity*. In this final section, I would like to make some sketchy remarks on the intersubjective layer which is constituted immediately *upon* the primordial sphere proper to egology. Husserl declares in the *Lectures* of 1919 that "it is clear that, what we call the world, receives its *full sense* only through relation to an indeterminately open plurality of subjects who enter in communication (*sich kommunizierenden*) with us" (Hua-Mat IV, 195). At its bottom, the level of intersubjective constitution has to do with the formation of an intersubjective world of experience out of the particular experiences of the individual subjects (Hua-Mat IV, 194). For a multiplicity of subjects, the transcendent world is given as the same world "through empathy and on the basis of the intuitively constituted living body (*Leiblichkeit*)" (Hua-Mat IV, 211). This is tantamount to saying that natural and cultural or spiritual "things," which are constituted in primordial experience "for-me," only become objective in the proper sense, i.e., "for-others," through empathetic communication ("for-me" is an idea whose *telos* is "for-anyone"). Over against primordial noemata, which always function as the founding level for any experience whatever, these founded noemata can perhaps be called "intersubjective noemata." Like subjective noemata, the

correlates of empathetic communication have a flowing, typical identity, which does not exclude variations or deviations originating in the component individual subjectivities. In addition, like subjective noemata, the typical sameness of their noematical senses, as well as its variations, point to an ideal of definitive preservation of identity (Hua-Mat IV, 211). Thus the region Nature, "according to its constitutive *sense*, is a unity of identity (*Identitätseinheit*), which is constituted through intersubjective mutual understanding (*Wechselverständigung*) of the intuitive Natures constituted separately by the particular subjects" (Hua-Mat IV, 215). Through empathy, the Other's body is not only perceptually presented as a "natural" thing; this presentation is a means for the appresentation or presentiation of the Other as a living body analogous to my own living body. And this first appresentation motivates a second one, whereby I understand the Other as the egological subject who feels "in" and governs "on" that living body. Now since the Other's body is appresented in analogy with mine, it also displays the two substrates that we have mentioned above, namely, the aesthesiological and the volitive body. The analogizing sense-transfer that empathetic experience makes possible by means of the "If I was there," of the exchange of the Other's *here* and *there* with mine, is therefore a two-fold achievement: analogous with the sensing (and also self-sensing) receptivity, and analogous with the kinesthetic and "poietical" motility of one's own body.

Final Remark

The bridge-function of both body-thing and living body mentioned above refers primarily to the constitution of one's own body on the levels of egological-primordial and empathetic-intersubjective experience. The noematic analysis lays bare a *static* stratification, after which being a bridge means for the body to function as an articulating point between nature and spirit, and this in virtue of its double-sided constitution as a thing and as a sensing moving animate organism or living body. Now if we take the *genetic* analysis into account, the egological subject appears as the substrate of an intentional history, and the life-world, correlatively, appears as the result of a sedimentation of senses; from this point of view, one's own body is consequently a noematic sedimentation. The structures laid bare by static analysis are clues for uncovering the essential figures of that sedimented history, and the connection among those figures also reveals a stratified structure. Such topics are not pursued in the *Lectures*.

Furthermore, the whole of these analyses needs to be expanded from egology to the higher levels of intersubjectivity. The first of these levels, which takes into account not just individual but *social* personalities, is mentioned in the course of the *Lectures*, although in a very sketchy way. Over against individual subjects, which perform personal acts, there are associations of subjects (*Subjektverbände*), which perform "social acts" (Hua-Mat IV, 134; 139). These associations can be described as social communities, "articulated subjective wholes," or "personalities of a higher order" (Hua-Mat IV, 133). According to Husserl, such personalities range from the transitory union of a tea party, to the institution of matrimony, to a social partnership, a church or even a national state. Members of such "societies" acquire, as such, new significance-predicates like "official," "servant," "employee," etc. These predicates can be called "functional" noemata (Hua-Mat IV, 133–134). Now by means of performing such functional acts, subjects produce at the same time new, higher-level objectivities, which we could call "cultural works of a higher order." Such "works" reflect the achievements of personalities of a higher order in their higher-order theoretical, practical and axiological "acts." Thus a group, a parliament, or a faculty have their "convictions," their "decisions," their "points of view," their "wishes," and the like (Hua-Mat IV, 135). In *Ideas II* Husserl speaks incidentally of "a certain Bodily intersubjectivity" (Hua IV, 297/Husserl 1989, 311, quoted by Behnke 1996, 142), and in the recently published volume of the *Husserliana* series on the life-world, we find the following expression: "The We has a *collective corporality*" (Hua XXXIX, 181). This level is, in turn, intertwined with the level of communication, where *language* comes on stage, whereby new strata can be disclosed with regard both to the living social community and to generativity, that is, to what we could perhaps call transsubjectivity. In all these levels the body receives new functions. But these are matters for further considerations.

Notes

[1] Tetsuya Sakakibara's paper on nature and spirit already worked on the original manuscript F I 35, unpublished at that time. However, he is mainly concerned with the constitution of nature and the alleged Spirit's two-fold forgetfulness of nature, one that concerns "primal nature" prior to any sedimentation of spiritual activities, and one that concerns the surrounding world, and can thus be associated with the naturalistic attitude (Sakakibara 1998, 266–7).

[2] A very careful analysis of the body in *Ideas II* can be found in Behnke 1996, Chapter 8, 135–60. The author also provides an extensive bibliography.

[3] Although based mainly on Merleau-Ponty's investigations, this question has been recently addressed by Gallagher and Zahavi (2008, Chapter 7, see especially 141–4), in the context of a distinction of three kinds of spatial frames of reference. In connection with the body's being the zero-point of orientation, they distinguish the two usual frames of allocentric space, by which I perceive things in an objective system of coordinates, and egocentric space, located in relation to my own body, but they further argue for a third frame in order to account for the perception of my body irrespective of both objective and egologic space. See further Zahavi 1999, 92–7.

[4] The very detailed analyses by Melle 1996, 19, interpret the *Lectures* this way, recognizing three kinds of realities like in *Ideas II*. The focus turns then to the problem of the delimitation of nature and spirit in face of the idealization made by natural science, which is indeed an important issue in the *Lectures* of 1919.

Chapter 4

The Logic of Disenchantment: A Phenomenological Approach

Daniel Dwyer

Science giveth, and science taketh away. If the former statement is practically self-evident in our modern era, the second is unfortunately not. Phenomenology has employed many of its resources in taking to task the modern claims of abrogating to itself all possible ways of rendering the sublunary world intelligible. Under the various rubrics of scientism, naturalism, and reductionism, thinkers in the phenomenological tradition have aimed their intellectual resources against any scientific meta-narrative that seeks to exclude the first person point of view in favor of an objectively neutral third person viewpoint. Disenchantment of the natural world, to invoke Max Weber's diagnosis of the modern elimination from the space of reasons of any appeal to the supernatural or immaterial, proceeds apace despite the phenomenological critiques, which have been bolstered lately by analytic thinkers such as Thomas Nagel and John McDowell. The common concern, then, of Husserl, Merleau-Ponty, James Gibson, Nagel and McDowell is to restore a robust sense of an intelligibility *sui generis* of the first person perspective against all forms of reductionism.

The Logic of Disenchantment

The best narrative of the move from Platonic and Aristotelian appeals to formal and final causation to the disenchanted material and efficient causation is best told by Charles Taylor in his recent tome, *A Secular Age* (Taylor 2007). Taylor argues that disenchantment is first and foremost a matter of the de-divinization of the modern condition, which has done away with "the world of spirits, demons, and moral forces which our ancestors lived in" (Taylor 2007, 25–6). Taylor's narrative is a religious one, arguing that disenchantment is the best rubric under which one should explain the rise of secularization that makes belief in God nearly impossible in our day.

This religious narrative, however, must first give way to a philosophical narrative that ascribes to disenchantment all of the moves to eliminate the irreducible first person point of view as an epistemologically relevant descriptive role. Resistance to disenchantment today must be based on a rigorous argument that there is indeed meaning "out there" in the perceptual world, for perceivers who are "condemned to meaning," a meaning that is not merely the projection of the human understanding.

While this philosophical narrative must really begin with nominalism, both medieval and postmodern, that is, by describing the trajectory from Ockham to Foucault, I will focus here rather on how the perceptual world is divested of all non-human meaning starting with Kant. For Kant, we can know objects not as they are independent of our anthropological constitution but precisely insofar as they are relative to it. He does not regard phenomenal reality as independent of our conceptual capacities. Furthermore, Kant tries to reconcile the deterministic world of Newtonian mechanics with the way in which our freedom is active in such a world. But all acts of freedom are a matter of the subject's spontaneous projections of concepts onto blind intuitions from the world.

The Nietzschean narrative of disenchantment is compelling. In *The Gay Science*, Nietzsche speaks of the "de-deification of nature," much like Schiller spoke of the world devoid of gods (*die entgötterte Natur*) in his poem, "The Gods of Greece":

> Unconscious of the joys she dispenses
> Never enraptured by her own magnificence
> Never aware of the sprit which guides her
> Never more blessed through my blessedness
> Insensible of her maker's glory
> Like the dead stroke of the pendulum
> She slavishly obeys the law of gravity,
> A Nature shorn of the divine [*Die entgötterte Natur*]. (Taylor 2007, 316–17)

Nietzsche asks, impatiently, "But when will we be done with our caution and care? When will all these shadows of god no longer darken us? When will we have completely de-deified nature? When may we begin to *naturalize* humanity with a pure, newly discovered, newly redeemed nature?" (Nietzsche 2001, Book III, § 109). Unlike for Aristotle, the universe is not rife with organic being; the universe is no organism. "The total character of the world . . . is in all eternity chaos—in the sense not of a lack of necessity but of a lack of order, arrangement, form, beauty, wisdom, and

whatever other names there are for our aesthetic anthropomorphisms" (§ 109). Indeed, even sense perception is allegedly saturated with errors made by the intellect since time immemorial (§ 110).

Hence we can understand why someone like Richard Rorty (accurately, in my mind) can diagnose our age as an epoch in which the scientist replaces the priest. Long held to be the one in touch with what is the source of the non-human, the priest-scientist can no longer be thought of as conveying a non-human source of meaning. As Rorty puts it,

> The scientist is now seen as the person who keeps humanity in touch with something beyond itself . . . So truth is now thought of as the only point at which human beings are responsible to something nonhuman. A commitment to "rationality" and to "method" is thought to be a recognition of this responsibility. The scientist becomes a moral exemplar, one who selflessly expresses himself again and again to the hardness of fact. (Rorty 1991, 35)

Rorty's response to this alleged state of affairs is to cease seeing the scientist as a priest: "We need to stop thinking of science as the place where the human mind confronts the world, and of the scientist as exhibiting proper humility in the face of superhuman forces" (Rorty 1991, 36). So for Rorty, the goal is to rid our self-conceptions of the vestigial idea that we are responsible to anything non-human. In an interview with James Ryerson, Rorty is said to have maintained that the first stage of European maturation was, as reported by Ryerson:

> overcoming the pre-Enlightenment religious outlook, which required humans to appeal to something nonhuman and divine for moral guidance and truth when in fact they should have been seeking moral guidance among themselves . . . But Rorty regrets that few of them see a parallel between overcoming the dubious religious idea of a nonhuman divine Other and overcoming the dubious scientific idea of conforming our inquiry to the way the world really is. Such metaphysical pretensions, Rorty believes, are the traces of unprofitable ways of talking about the world, and if philosophers can persuade people to stop talking as though our worldview describes things as they really are, they can make a substantive contribution to the de-divinization of the world. (Rorty 2006, 11)

Modern philosophy and science seem to have demythologized the world and stripped it of meaning. Schiller and Heidegger called this event the

Entgötterung der Natur and Weber referred to it as the *Entzauberung der Natur*. Both terms are referring to the loss of intrinsic meaning, objective purpose, and final causality in the modern scientific conception of nature. What is left after the Baconian conquest of Platonic shadows and phantoms is a world bereft of intrinsic significance or norms. The flight of a sparrow is just matter in motion; the raising of a hand is just a quantitative event in a deterministic universe.

But what happens in an objective science of subjectivity? Is not the object of such research an acosmic thinking subject—what Merleau-Ponty refers to as the disembodied *kosmostheoros*—with unassociated sense data? There is to be sure in naturalism so conceived a concern that knowledge be knowledge of the transcendent, but the perceived world becomes a purely subjective and self-enclosed world of first-person feels or takes on the world. Moreover, appearances are no indication of the truth of a thing; put differently, the question to phenomenology is how the "mereness" of appearance can overcome the world's otherness. For in a disenchanted world the status of perception becomes relegated to first-person access to subjective qualia. All significance is human significance, the result of sense-bestowals or projections upon objectively meaningless phenomena. Indeed, in the rationalist or idealist system all meaning is constructed through an active synthesis by a transcendental ego. There is no longer any sense in which phenomena disclose themselves as *already* meaningful to a perceiver actively and passively engaged in the environment. There is no longer any sense in which phenomena are "taken in" as meaningful, i.e., as embedded within a network of relationships and related to their *telos*, the way of being at their best in displaying the world. There is allegedly no longer any sense to the idea that meaningful syntheses that are at the heart of constituted objects, persons, places and events are organized in a Gestalt-theoretical autochthonous way and spontaneously in the person's interaction with the world; as a result, according to the disenchantment of nature, all wholes come from us, and all ordering of phenomena into contexts is a product of spontaneous understanding.

So we moderns uncomfortably make our way in the disenchanted naturalistic backdrop against which the late Husserl and the early Merleau-Ponty engaged in their methodical description of pre-predicative and lived-through pre-logical experience. When Merleau-Ponty declares in the *Phenomenology of Perception* that we are "condemned to meaning," he is declaring that meaning has a non-human source in nature in the way that synthetic perceptions come about in orderable contexts.

Condemned to Meaning

"Condemned to meaning" signifies being forced to acknowledge the genetic dependency (or *Fundierung*) of our full-blown rational accomplishments, our acts of relating divorced from the already perceived relatedness, on lower-level, pre-rational events in which the self is latently present. Being "condemned to meaning" signifies that fully articulated logical and rational achievements must be traced back for their meaningfulness to proto-rational structures in the field of perception. In the rest of this paper I shall argue that the late Husserl and the Merleau-Ponty of the *Phenomenology of Perception* achieve a re-enchantment of nature, at least in the sphere of perception. No longer are we speaking of portents and signs and traces of the divine or the mystical; now we can talk licitly of the generation of sense in the place where few venture to find it: in the preconceptual realm of perception, in the world of appearances understood as disclosive of the world to a worldly—but in no sense universal—subject embedded in the world as embodied. To the materialist, naturalistic point of view, Merleau-Ponty retorts: "Scientific points of view, according to which my existence is a moment of the world's, are always both naïve and at the same time dishonest, because they take for granted, without explicitly mentioning it, the other point of view, namely that of consciousness, through which from the outset a world forms itself round me and begins to exist for me" (Merleau-Ponty 2002, ix). As he puts it,

> The question is whether science does, or ever could, present us with a picture of the world which is completely self-sufficient and somehow closed in upon itself, such that there could no longer be any meaningful questions outside this picture. (Merleau-Ponty 2004, 34)

We turn first to Merleau-Ponty's account of the incapacity of empiricism to explain fully our perceptual being-in-the-world. Prior to the constituted objective world, there is a phenomenal field in which phenomena take shape as the appearances of things. For its part, in its intentional directedness to sensations as so-called basic "units of experience," the scientistic-natural attitude unknowingly dismisses this phenomenal field. What we find in ordinary perception is *not* internal sensations, but external things: objects, people, places and events. Nowhere in perception do we come across discrete qualitative bits of experience abstracted from the external perceptually coherent environment. The very notion of a sense datum as perceptually relevant or meaningful needs to be called into question:

"Pure sensation [would] be the experience of an undifferentiated, instantaneous, dotlike impact," much like the effect Seurat's *pointillisme* would have at close range (Merleau-Ponty 2002, 3). According to Merleau-Ponty, sensing is the lowest form of perception, the least active on the part of the subject. If a sensation can be described as a part of a holistic experience of a full-blown perceptual object, there is still something in the sensed that draws the attention to something similar or dissimilar, same and other. As Merleau-Ponty puts it, "each elementary perception is therefore already charged with a *meaning*" (4) and "an expressive value" (7). Things are presented always with an affective value:

> Our relationship with things is not a distant one: each speaks to our body and to the way we live. They are clothed in human characteristics (whether docile, soft, hostile, or resistant) and conversely they dwell within us as emblems of forms of life we either love or hate. Humanity is invested in the things of the world and these are invested in it. To use the language of psychoanalysis, things are complexes. This is what Cézanne meant when he spoke of the particular "halo" of things which it is the task of painting to capture. (Merleau-Ponty 2004, 49)

In a masterful non-reductive description of anger as it manifests itself between two people, Merleau-Ponty asks "But where is this anger?" It is not in the mind of the angry person; it is enshrined in the body of the angry man. Anger is palpably in the room where the two angry people are manifesting their anger; it breaks forth and unfolds and indeed *inhabits* the angry person. (Merleau-Ponty 2004, 63)

Husserl had already discussed an affective allure at the lowest level of conscious life, a stimulus that wakes consciousness up, so to speak. The genetically primary consciousness is consciousness of or sensitivity to patterns of homogeneous sense-unities against a heterogeneous background. Associated phenomenal structures, as opposed to atomic sense data, make up what is experienced from the first-person perspective. When Merleau-Ponty writes, "This red would not literally be the same if it were not the 'wooly red' of a carpet" (5), he is pointing to the fact that in perception we pick up objects and their internal and external horizons as well.

In *Experience and Judgment*, Husserl thematizes not *Gegebenheit*, but *Vorgegebenheit*. Pre-givenness applies to things that stand out in prominence and so to speak "excite" us to perception. Before the self has exercised

any constitution of objects, there is the prepredicative, prereflective, prelinguistic opening on to things that exercise an affective allure upon us. We are still in the domain of passivity where the ego is not yet engaged in active participation.

Givenness can be understood in *Experience and Judgment* as the yielding of the self to the allure and turning toward it attentively. Passivity amounts to the basic essential conditions of subjectivity itself. Originally the concept of allure (*Reiz*) had a naturalistic sense in the psychology of the late 1800s. But Husserl appropriates the concept as part of his project in *Ideas II* to sketch out the motivational relation between the lived body and the life-world. *Reiz* can be translated as obtrusion, stimulus, attraction, or appeal (Husserl 2001b, xliv–xlv). The object or state of affairs beckons consciousness to examine it more closely. To follow the appeal is to set in motion first a yielding and then a striving toward the maximum or optimal givenness of the phenomenon. Following the appeal is turning toward that which calls, and this *Zuwendung* occurs in the domain of active receptivity. Husserl makes clear that activity and passivity, spontaneity and receptivity are for him relative terms. Receptivity is the lowest level of the activity of the ego. As he puts it, "Insofar as in this turning-toward the ego receives what is pregiven to it through the affecting stimuli, we can speak here of the receptivity of the ego . . . This phenomenologically necessary concept of receptivity is in no way exclusively opposed to that of the activity of the ego . . . Receptivity must be regarded as the lowest level of activity" (Husserl 1973a, 79). The tendency of the *Zuwendung* continues as a tendency toward complete fulfillment. An intention that goes beyond the given tends toward a progressive *plus ultra*.

It is the exception and not the rule that we occasionally hear a pure ringing in the ear or an afterimage. More likely it is that we perceive at the sensuous level indeterminate, vague, ambiguous, and imprecise and *yet no less meaningful* Gestalt figures enabled by the holistic impact of sensings. Gestalt theory holds correctly that there is no isomorphism between the contents and the causes of perception. Empiricism overlooks the inevitable *context* of perception toward which discrete stimuli will direct us, in the sense of completing a perceptual Gestalt (Merleau-Ponty 2002, 13). The whole horizon of perception is what holds irreducible meaning. What is to be explored is the pre-objective realm and its teleological relation to the objective grasp of the meaning already latent, though indeterminate, on the sensory level. Something is pre-objective when it has a structure that resists articulation into a content that allows it to be grasped in thought.

Temporally speaking, the past and future are understood as horizons or fields, instead of a collection of discrete impressions:

> Now the sensation and images which are supposed to be the beginning and end of all knowledge never make their appearance anywhere other than within a horizon of meaning, and the significance of the percept . . . is in fact presupposed in all association. (Merleau-Ponty 2002, 18)

Merleau-Ponty describes in the most basic of perceptions, an articulable state of affairs, an "immanent order" lying merely "latent" in the landscape (Merleau-Ponty 2002, 20) and "a whole already pregnant with an irreducible meaning" (25). As he puts it, "The different parts of the whole—for example, the portions of the figure nearest to the background—possess, then, besides a color and qualities, a particular significance [*un sens*]" (15).

> Matter is "pregnant" with its form, which is to say that in the final analysis every perception takes place within a certain horizon and ultimately in the "world," that both are present to us practically rather than being explicitly known or posited by us, and that finally the relation, which is somehow organic, of the perceiving subject and world, involves, in principle, the contradiction of immanence and transcendence. (Merleau-Ponty 2007, 89)

If we rely on Husserl's notion of constitution, and Merleau-Ponty's non-idealistic understanding of it, we can say that constitution is "letting something be seen as what it is by placing it in ordered contexts" (Wrathall 2006, 33). Constitution always takes place by articulating internal and external horizons. Inner horizons consist of the anticipations and prefigurations that I have already in mind as I approach the object. So perceiving involves progressive preconceptual fillings and emptyings. As Dermot Moran puts it, "certain prefigurations get filled in intuitively, while new expectations are opened up" (Moran 2005, 164–5). It is the constant simultaneously passive and active waiting to have something fill one's empty intentions that accounts for the dynamism of perception. What, then, is thought for Merleau-Ponty? It is the conscious passing from the indeterminate to the determinate (Merleau-Ponty 2002, 36). For him, "the active constitution of a new object . . . makes explicit and articulate what was until then presented as no more than an indeterminate horizon" (35). There is a healthy sense of a pre-logical domain in which consciousness does not yet possess fully determinate objects—it

is a lived-through logic, with an immanent meaning which remains partially unclear at the non-conceptual stage (57).

The disenchanted world of science is a universe and not a world; it is horizonless, lacks context, and assumes an untenable third-person view from nowhere; it is what Bernard Williams calls "the absolute conception." It is an either/or perspective based on strict binary thought with a punctual world and a behavior-stimulus response as the only pre-rational engagement with the world (but pre-rational here implies no connection to rationality). In other words, there is a subtle version of Platonism, according to Williams, that offers a sense of "purity and liberation" that transcends human affairs altogether. It strives to "be a representation of nature which abstracts to the greatest possible degree from the perceptual and other peculiarities of human beings" (Williams 2002, 142–3). What is incoherent about the view from nowhere is that it represents a complete and self-sufficient view of reality. But its concepts do derive their meaning from our ordinary pre-reflective experience of the world as experienced from our many different "views from somewhere."

Normal, Optimal Perception

Nature gives itself to be perceived from better and worse perspectives; hence we can speak of natural norms of perceiving that have at least as much to do with the way the world manifests itself as it does with how the subject positions itself. To capture the meaningful passively constituted structures one must first be in relative good health, possess good vision, etc. Circumstances must be normal: daylight, sufficient illumination to detect color and contrast, without the interference of any colored medium, to say nothing of an ill-disposed mood or emotion. As Husserl puts it, the qualities of material things as aestheta present themselves intuitively to one's "*normal sensibility*" in motivated series of "appropriate order" (Husserl 1989, § 18a; see also Husserl 1997, § 36 and 38). Normal appearances are "orthoaesthetic," and the perceiver thereby achieves an optimally disclosive perception (Husserl 1989, § 18c). There are optimal viewing distances when contemplating, say, a painting, especially an Impressionistic one; there are optimal acoustic conditions in the symphony hall when, say, the cougher stops coughing. There is an a priori correlation between the displayability of the world and the registering of particular displays by the perceiver. A perceiver motivated erotically toward revealing the exhaustive presentability of the world can only be motivated in this way if she is in fact

aware that she can only be co-conscious of the indefinite number of "other sides of things."

Consider, for example, the extended description of normative, optimal disclosure in Husserl's *Ideas I:*

> A violin tone, in contrast, with its objective identity, is given by adumbration, has its changing modes of appearance. These differ in accordance with whether I approach the violin or go farther away from it, in accordance with whether I am in the concert hall itself or am listening through the closed doors, etc. No one mode of appearance can claim to be the one that presents the tone absolutely although, in accordance with my practical interests, a certain appearance has a certain primacy as the normal appearance: in the concert hall and at the "right" spot I hear the tone "itself" as it "actually" sounds. In the same way we say that any physical thing in relation to vision has a normal appearance: we say of the color, the shape, the whole physical thing which we see in normal daylight and in a normal orientation relative to us, that this is how the thing actually looks; this is its actual color, and the like. (Husserl 1983, § 44)

It is not, as Bacon thought, a regrettable state of affairs that Nature often hides herself. While it is indeed true that Nature is often recalcitrant to our expectant perception, it can nonetheless emerge from hiddenness and reveal itself precisely as that which was formerly absent. Indeed, even to say that Nature hides herself is to realize the conditions of possibility of hiddenness and revelation. These conditions imply that intentional contact with the external world—the primary explanandum of modern philosophy and the rise of modern science—is achieved by series of intentionally horizoned orthoaesthetic displays.

Merleau-Ponty mentions a case in which the branches of trees appear to merge with the funnels or masts of a wooden ship in the harbor (Merleau-Ponty 2002, 20). As the perceiver approaches to disambiguate the perceived objects, a vague expectation arises that the different objects can be allowed to be seen in an orderable context as what they are. He says of the ship:

> The unity of the object is based on the foreshadowing of an *immanent order* which is about to spring upon us a reply to questions merely *latent* in the landscape. It solves a problem set only in the form of a vague feeling of uneasiness, *it organizes elements* which up to that moment did not belong to the same universe and which, for that reason, as Kant said with

> profound insight, could not be associated. (Merleau-Ponty 2002, 20, my italics)

Husserl's genetic phenomenology points to the ambition of our empty intentions: "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 a contradiction, as it were" (Husserl 2001b, 39). There is an interplay between the sensory Gestalt and the logical domain. There is a sense in perception of indeterminate determinability, that is, the sense that no matter how much I have explicated the perceptual object through different profiles, there is always a *plus ultra* to be determined at some other point in time. That is, the identity of objects is secured by the running-through of manifolds of appearance. Anticipatory intentions are grounded in former intentions. We are co-conscious of aspects of things—we have a fore-understanding of what there is to come. And what is to come is, in normal harmonious experience, blended in with what is known already about things. Thus there is a norm in nature in the way a natural object gives itself to the perceiver. We have a general attunement to what is there, but this is not knowledge in the sense of clear and distinct atomism. Thus Merleau-Ponty speaks of a Logos of the aesthetic world, whose noetic correlate is an operative intentionality already at work before any thetic positing or judging.

Conclusion: McDowell and the Pre-conceptual Registering of Natural Meaning

Merleau-Ponty and the late Husserl would find an unlikely ally in detecting a re-enchantment in the world of perception in John McDowell. McDowell's *Mind and World* has set the tone of the contemporary debate about whether human perception is possible only to the extent that the perceiver has acquired the appropriate conceptual capacities available to specify perceptual content. He argues that conceptual capacities are that in virtue of which sensations represent the intelligibility of the perceptual world. According to McDowell, perception is continuous in some sense with conceptual knowledge insofar as cognitive processes in some form are actualized all the way down in passive perception. What is at issue is whether a world-presenting passive perceptual state is of a different species from a mental state in which one actively makes conceptual distinctions, identifications, and judgments.

McDowell wants to suggest that "the paradigmatic or central cases of actualization of conceptual capacities are in *judgment*, and that is free, responsible cognitive activity" (McDowell 2004, 194). The act of judging can be "singled out as the paradigmatic mode of actualization of conceptual capacities" (McDowell 2009a, 4–5). Although McDowell argues that experiences are to be modeled on acts of judgment—because they capture the synthetic togetherness of a perceptual state of affairs—he nonetheless admits that this conception "leaves room for conceptual capacities . . . to be actualized in non-paradigmatic ways, in kinds of occurrence other than acts of judging" (McDowell 2009b, 251). We must therefore distinguish "the occurrence of an experience" from the occurrence of an *act* of judgment.

I argue that despite McDowell's so-called conceptualism, he shares with Merleau-Ponty the notion of pre-conceptual synthetic organization or relatedness presented to the perceiver, in such a way that this perceptual content can be isomorphic with the content of a full-blown judgment, say, in the sense of a Kantian judgment of perception. The isomorphism occurs at the level of passive synthesis and an active, conceptual synthesis. To judge that "S is p" is to have already noticed preconceptually that p belongs to S. According to Merleau-Ponty, there is an ultimacy to how Kantian affinity is the constitution "of a *significant grouping*" (Merleau-Ponty 2002, 61). Genetically speaking, one must find beneath the level of conceptual definitions the latent meaning of lived experiences, which is to say one must find the existential meaning of a subject coming to grips with its world. For beneath the conceptual level, there is "a sense in certain aspects without having myself endowed them with it through any constituting operation" (252). It is precisely this "sense" that is the token of disclosable meaning in nature.

What is clear by now is that, *contra* McDowell, Merleau-Ponty would claim that p's belonging to S is first noticed in what he calls *wordless* intentions. A wordless intention seems, however, to be a limit concept of a perceptual intention in which words are wavering under the surface, teleologically directed toward the expression of the perceptual state in syntax. Words are provoked and incited to find their rest in logical form. This is an aspect of Husserl's going beyond Merleau-Ponty, who seems to stay at the level of sensibility to the detriment of rising to the level of explicit reason.

To return briefly to McDowell: the debate between conceptualism and non-conceptualism rages in analytic philosophy about the conceptual aspect of perceptual intentions. (See, for example, Gunther 2003). Whereas one could argue that Merleau-Ponty understands that every perception is directed at cultural objects and such with sedimented conceptual

meaning, it is the task of the perceiver to reawaken those conceptual sedimentations and situate them in syntactical form for public display. But first and foremost, the subject intends the non-conceptual world: a world full of partially re-enchanted existential meaning, an irreducible world in which meaning per se is not swallowed up by the naturalistic attitude. Meaning is latent in any encountered state of affairs in an organic way, such that the potential of significance is grasped, and not first introduced, by perceptual and then theoretical reason. Far from being an animistic viewpoint on nature that sees occult qualities and personal or personified causation everywhere in action, the phenomenology of perception asserts that experience plays a real role in supplying norms of perception. To the truth achieved by logical syntax there corresponds the latent truthfulness of states of affairs that are displayable to the appropriate perceptual viewpoints. If indeed the disenchantment of nature implies the de-animation of the world, phenomenology plays an essential role in restoring to human cognition its intentional animating character of sense-experience. To animate intentionally toward the truthfulness of worldly states of affairs is to be receptive of the meanings of those affairs as they display themselves to intentionality. Thus the displayability of the world is the best argument for the irreducibility of autochthonous organization in the layout of nature. In sum, phenomenological *description* is the necessary complement to modern scientific descriptions, which at their origin are really not *descriptions*, but *prescriptions* (Griffin 1988, 488). We must therefore distinguish two kinds of intelligibility, the intelligibility that is sought by natural science and the intelligibility of displays and claims in the logical space of reasons, to use Sellars' phrase. In this way we can both discern the conditions of possibility of claims made in the space of reasons and avoid what McDowell calls a "regress into a pre-scientific superstition, a crazily nostalgic attempt to re-enchant the natural world" (McDowell 1996, 72).

Chapter 5

Transcendental Subjectivity, Embodied Subjectivity, and Intersubjectivity in Husserl's Transcendental Idealism

Arun Iyer

In a series of notes and lectures compiled between 1908 and 1921, which have been collected together and published under the title *Transzendentaler Idealismus* (Hua XXXVI). Husserl attempts to articulate his own version of transcendental idealism. Within this framework Husserl continues to grapple with his old enemy, psychologism, trying out several models for understanding consciousness. He also makes vigorous attempts to distance this version of transcendental idealism from solipsism by engaging with questions concerning embodiment and intersubjectivity.

In the ensuing discussion, I will be mainly focusing on text n. 9 of this volume written in 1921 in which Husserl argues that nature can be conceived of only as a correlate of the harmonious experiences of a community of embodied subjects who are all capable of acknowledging the existence of each other and the existence of one and the same nature.[1] I will trace his analyses of the relationship between transcendental subjectivity, embodied subjectivity and intersubjectivity within the context of his thesis of transcendental idealism. I will then try to discuss some of the implications his analyses in this essay might have for his later discussions of intersubjectivity, particularly in the *Cartesian Meditations*.

I

The central claim of Husserl's transcendental idealism is that it is not possible to conceive of the existence of the world except in relation to consciousness. Husserl's version of transcendental idealism thus makes consciousness and the world into correlates of one another. Husserl thereby attempts to better Kant's version because for the former there is no residue in the world that permanently eludes consciousness. Rather consciousness and

world go hand in hand as perfect correlates of each other. But what does the term consciousness refer to? In this regard, Rudolf Bernet's remarks on Husserl's transcendental idealism are very instructive:

> It [transcendental idealism] has the great advantage of no longer relying on the Cartesian opposition between the sphere of immanence of my own consciousness of which I can be apodictically certain, and transcendent reality, the actual existence of which forever remains problematic . . . Husserl's interest shifts from the analysis of the relationship between immanence and transcendence to the analysis of the justification of a positing of an object as possible or actually real by means of an intuitive fulfilment of that act of positing. In successively investigating the phenomenological consciousness in which ideally possible, really possible, and actually real objects are given, Husserl is never moved to cast doubt upon the intentional correlation between the act and its object. Furthermore, he will no longer have any reason to confuse the dependence of the modes of being of the object vis-à-vis intuitive consciousness with an independence of this consciousness vis-à-vis its intentional objects. (Bernet 2004, 3–4)

Under this thesis, Husserl advances a number of interesting formulations of consciousness. In the texts assembled in this volume we find him referring to consciousness as a field of absolute givenness (*Feld absoluter Gegebenheiten,* Hua XXXVI, 6), as a flow of absolute consciousness (*Fluss des absoluten Bewusstseins,* 62) and as embodied subjectivity (*leibliche Subjektivität,* 132) or corporeality. It is not that these different formulations of consciousness are mutually exclusive. They overlap each other in interesting ways.

In an essay composed in 1915 (two years after the publication of *Ideas I*) which is part of the same volume, Husserl argues for the well known distinction between empirical and transcendental subjectivity in the following way. He claims that it is intuitively evident that consciousness, with its real experiential contents, is an absolute being whose existence is unaffected by the cancellation of the whole world. Within the framework of the transcendental idealism that he has developed, Husserl explains what this means. If a world exists then there are rules that determine the way the world shows itself to consciousness through connections of consciousness. And were the world to cease existing then although these connections of consciousness through which the world reveals itself would be put out of commission, other connections of consciousness would continue to be valid. This leads him to conclude that the non-existence of the world does not mean the

non-existence of consciousness. This in turn leads him to make what he calls a pure distinction between empirical or psychological consciousness, which is a part of the world, and transcendental or pure consciousness, which is not a part of this world. Although it is very tempting to read this as a strong ontological claim about consciousness, the independence of consciousness from the world need not be interpreted as a claim about the being of consciousness at all. It can be interpreted simply as a methodological claim about the kind of investigation the phenomenologist is willing to engage in.[2] Using the method of free imaginative variation, the phenomenologist will attempt to conceive of different types of consciousnesses and the corresponding types of worlds that can be correlated with it. The nullification of a particular type of world only nullifies the particular type of consciousness that is correlated with it and leaves the phenomenologist to conceive of other possible worlds and the other corresponding possible consciousnesses correlated with them. This imaginative variation of world-consciousness correlations allows the phenomenologist to come to some essential insights regarding consciousness and the world in general.

II

In text n. 9, which as I have mentioned before will be my main focus, Husserl pursues precisely this strategy and comes to some very interesting and important conclusions regarding embodied consciousness and its relationship to the world and other embodied consciousnesses, which lead him to reformulate his thesis of transcendental idealism. Let me enumerate the chief arguments of this essay.

Husserl starts out with his thesis of transcendental idealism which he expresses in the following way. He argues that when we simulate an object like a centaur we cannot but simulate it as the object of a quasi-experience of a simulated ego which experiences it. We thus imagine the centaur as an object whose existence it would be possible to confirm through a series of harmonious experiences on the part of a simulated experiencing ego. So every object, even when imagined, has to be imagined as a correlate of the experiences of a simulated ego. Not only is it possible to imagine an object directly in this manner, it is also possible (and this is significant) to imagine an object as given to me only indirectly as the correlate of the experiences of another ego. This of course implies that every object that is simulated indirectly must lie within the range of possible objects that I could simulate directly. And here we arrive at the two tasks that Husserl

sets himself in this essay: to uncover the conditions for the possibility of a subject knowing of the existence of another subject and the conditions for the possibility of two subjects being a part of the same world.[3]

Within the framework established by the thesis of transcendental idealism, starting with the idea of nature, Husserl claims that the very idea of nature necessitates a subject whose experiences, perceptions and outer apperceptions proceed in a stream in accordance with a prescribed order through which that nature is given to the subject. So every possible type of nature has a corresponding specific type of subject which can know it and which is incompatible with other types of natures and other types of subjects.

On the other hand, if one starts with the idea of an ego in general, then we have within this one idea an infinite number of possible ego types each with its own stream of lived experiences and capacities, all of which are incompatible with each other. Each ego-type is a correlate of a specific type of nature such that for any possible type of nature no ego correlated to it can testify through experience to the existence of a nature that is incompatible with that nature.

To put it more clearly, if a nature N_1 is correlated to an ego type E_1 and a nature N_2 is correlated to an ego type E_2, then N_1 is incompatible with N_2 and E_1 is incompatible with E_2.

But what we have said so far does not discount the possibility of a number of egos of the same type relating to the same corresponding nature of which they are the correlate. Husserl, as we mentioned before, is interested in uncovering the conditions for the possibility of such compossible egos. Empathy (*Einfühlung*) is the faculty through which compossible subjects of the same type know of the existence of each other. Empathy is based on the possibility of the subject being able to accomplish an analogizing apperception of the foreign subject.[4] Analogizing apperception in turn is dependent upon the ability of the subject to conceive of (simulate) (*fingieren*) a subject not identical but yet analogous to itself. The foreign self can be conceived and represented only as a possible modification of my own body but a possibility which is nevertheless not freely available to me. It is therefore possible not only to simulate a fantasy lived body which physically and psychically coincides with me but it is also possible to conceive of a lived body which is simply not identical but merely analogous to me. Analogizing apperception is based on this possibility of distinguishing between three selves: my original actual self, my simulated fantasy lived body and a simulated foreign lived body.[5] There is thus, according to Husserl, a distinction between the two products of my simulation, one of which is a modification

of my present lived body and yet identical to it and another which is also a simple variation of my lived body but is not identical but analogous to it. Whereas my modified lived body is related to me by the relation of identity, the simulated foreign lived body is related to my modified self by a relation of quasi-empathy. This is because the simulated foreign lived body is an analog of my fantasy lived body. Husserl's move here, however, raises some questions. The first question is whether such a distinction is indeed possible. The second even more crucial question is whether this distinction is equivalent to the distinction between the self and the other.

To make this clear, let us take the example of J. M. Coetzee's *The Diary of a Bad Year* (Coetzee 2007). The novel has three main characters, one of whom is an elderly gentleman named C who resides in Australia and has written the same books as the author himself, a young lady named Anya and her lover Alan. If we apply Husserl's views, it seems that the elderly author in the novel is simply a variation of Coetzee's own lived body, identical to him physically and psychically, whereas Anya and Alan are variations that are only analogous to his lived body. But is there really a distinction between the character C and the characters Anya and Alan simulated by Coetzee? Or must we say that Anya and Alan are also variations of Coetzee's own self which are identical to him as C is? Can we really say, following Husserl, that Anya and Alan are only indirectly related to Coetzee through the character C who knows them through a relationship of quasi-empathy? Even if we could make a distinction between Anya and C, what makes it equivalent to the relationship between the real author Coetzee and another real human being?

Ultimately both the foreign self and my fantasy self are modifications of my own self. While my fantasy self is a possibility that is freely available to me, the simulated foreign self is a manifestation of a possibility that is not so easily available but whose existence I can nevertheless acknowledge. But is that sufficient for making a real distinction between the two simulated selves and is it equivalent to the distinction between me and the other?

Whether or not we accept Husserl's contention that a distinction between the two simulated selves exists, we can grant that it is possible to simulate two selves which are physically distinct bodies co-existing in a single shared space. It also seems possible for me to identify with one of these simulated selves without identifying with the other. Husserl argues on the basis of this that analogizing apperception requires the existence of bodies which are spatiotemporally related to each other by being a part of the same transcendent nature. The empathizing subjects and the surrounding nature of which they are a part must share an all-encompassing spatiotemporal

form. The subjects become lived bodies sharing the same space where the other is always seen as an analog of my own lived body.

Husserl further argues that a bodiless subject cannot empathize with other subjects and is therefore inherently solipsistic. Let me recount the chief strands of this argument. According to him, it seems quite easy to perform an imaginative variation on my present empirical self and conceive of a possibility in which I am an experiencing subject that lacks a lived body. It also seems quite easy to conceive of foreign selves whose lived bodies are analogous to mine and which would lack those bodies exactly as I do and mutually co-exist with me. But eidetically speaking, this possibility contains in itself a contradiction because with the disappearance of bodies the differences between the selves also disappear. As a result we no longer have distinct selves that mutually co-exist but mere variations of a single self—my own—coinciding with my own self and mutually incompatible with each other. In the absence of bodies there is no basis for holding on to a distinction between these selves. With the disappearance of a distinction between selves, the possibility of accomplishing an analogizing apperception also vanishes and with that the possibility of recognizing the existence of other subjects. Husserl therefore comes to the conclusion that a bodiless self is necessarily solipsistic. He further asks whether such a bodiless subject could have an experience of nature in the manner of a bodily subject and he seems skeptical in this regard. Even though it seems logically possible to conceive of a bodiless subject experiencing the same kind of things as a bodily subject, Husserl observes that the experiences of nature proceed in a kinesthetic succession which is bound to physical organs such the eye and the ear. If the structure of nature seems to impose a structure on the experiencing subject then it is hard to see how a nature that is composed of physical things could be correlated to a non-physical subject.

Empathy, for Husserl, is not confined to beings that experience the world with an identical level of sophistication. Rather empathy can extend itself across species irrespective of their stage of intellectual development. Husserl actually claims that human beings can empathize with jellyfish (Hua XXXVI, 163). The analogical distance between the two empathizing subjects has no effect on the possibility of empathy. To speak with Husserl:

> Empathy does not exclude the fact that the empathized subject is a distant analog (of the empathizing subject) despite the necessary common essence on which the extent of the analogy is based as we know it in the case of the quite deficient understanding of animals. (Hua XXXVI, 163)

If one has to have mutually co-existent subjects who can recognize each other and relate to the same transcendental nature then they have to have bodies and their experiences must harmonize to make evident the existence of the same nature. And so we have the following two versions of his modified thesis of transcendental idealism:

> Transcendental idealism states: A nature is not conceivable without co-existing subjects who can have a possible experience of it; it is not enough to have possible subjects of experience. (Hua XXXVI, 156)

> A nature is only conceivable as a unity of possible harmonious experiences of an experiencing subject; and we see that by way of evidence if one and the same subject is posited as experiencing a nature and consequently that its presumptive experiential claims have been confirmed to be harmonious, etc., then it cannot also have a second nature given to it. (Hua XXXVI, 160)

In two addenda to this essay composed in the same year, Husserl draws out some of the interesting implications of this modified thesis of transcendental idealism. In the addendum titled "Correlation of the Existence of Nature and the Existence of the Subjects experiencing Nature" Husserl claims that if a certain experience is to be really possible instead of being merely logically possible, there are certain rules according to which the experience must unfold. In order for other subjects to exist in addition to me, it is necessary that I have a body and that I am able to encounter these other subjects as my alter ego. The subjects form a community with the existence of each of them prescribing a rule for the manner in which the experience of the others might unfold.

In the addendum titled "Existence of Nature. The Idea of the Ontological In-Itself and the I," Husserl takes up the question of the non-existence of nature in general. He asks what it would mean for nature to cease to exist. What kind of experience would confirm the non-experience of nature itself? Why should one accept that nature in general has ceased to exist on the basis of the experiences of a single subject? Should one not rather question the rationality of the subject in question? If we accept the modified thesis of transcendental idealism we can see that nature is a correlate of the harmonious experiences of multiple subjects each of which is capable of knowing the same nature. Nature is thus intersubjective in-itself. Husserl can therefore claim that no single experience can ever confirm the non-existence of nature. Nature is an intersubjective unity and a single subjective experience cannot confirm its non-existence. Because nature is

an intersubjective unity and is a correlate of the experiences of an open community of subjects, every subject can have knowledge of nature as well as knowledge of other subjects. It is this twofold ability that will help the subjects know which subjects are irrational, distinguish rational from irrational experiences and arrive at an objective understanding of nature. These claims bear out Bernet's remarks on transcendental idealism that we recounted at the very beginning: transcendental idealism no longer persists with the Cartesian schism between the certainty of one's own immanent sphere of consciousness and the eternal uncertainty of the transcendent object that lies outside of this sphere; the correlation between the consciousness and its object is no longer in question and Husserl no longer confuses the specific mode of being of the object in relation to consciousness with the independence of consciousness vis-à-vis its objects. Husserl indeed seems to have given up on the idea of the independence of consciousness from nature.

Conclusion

Summarizing the results of the investigations in this essay, we can say that Husserl's investigations are synchronic in nature. He is interested in uncovering the conditions for the possibility of the co-existence of subjects who can acknowledge the presence of each other as well as corroborate their respective experiences to arrive at a knowledge of one and the same nature. In this regard, the possession of the lived body and the spatiotemporal organization of our experiences of nature becomes the fundamental condition for empathizing with other subjects. Husserl's analyses have not proved that such a nature truly exists and that subjects experiencing such a nature truly exist. What they have shown is that such a nature, which is the experiential correlate of a multiplicity of subjects, is a real possibility and that empathy remains a real possibility. In order to move from the real possibility of nature and other subjects to their actuality, certain other conditions would have to be satisfied but Husserl does not deal with them in his essay.

What is striking in Husserl's discussions of empathy throughout this essay is the role the lived body plays. Without the possibility of spatiotemporally distinct lived bodies there would be no possibility of empathy. This is because Husserl conceives of empathy as an analogizing apperception wherein I represent the other as a modification or an analog of my lived body. But from what we have read, analogizing apperception depends upon the possibility of my perceiving the other as a lived body separate

from mine. As we have seen, in the absence of a lived body, we would be doomed to a solipsistic existence because there would be no way to distinguish between myself and the other. It seems then that it is the physical separation between our bodies that motivates me to look at the other as an analog of my lived body and thereby empathize with it. Moreover analogical apperception is not confined to human beings. As we have seen, it must be even possible to empathize with other creatures like jellyfish which possess bodies like us. From this it seems apt to conclude that the starting point for analogical apperception is the possibility of an original perception of the difference between my lived body and that of the other and not just the perception of my own lived body. We must also note that Husserl even seems to go further and argue that even perception which proceeds in a kinesthetic succession requires a subject with physical organs.[6]

Husserl's analyses in the *Cartesian Meditations* (Husserl 1999) can be seen as a diachronic complement to his analyses in the essay we have studied so far. In the fifth Meditation he tries to explain how the other comes to be given to me. Here the focus is not on the necessary and sufficient conditions for the encounter but on telling a story of how I come to encounter the other. In these investigations, Husserl, as is well known, explains in great detail the role that the lived body plays in the empathy by developing the notion of kinesthesis. The concepts of analogizing apperception and subsequent pairing are discussed within the same diachronic framework. If, as we saw earlier, it is the original perception of the difference between myself and the other that motivates analogical apperception, then we need not take the self reduced to its "sphere of ownness" as the methodological starting point for analogical apperception. We can ask what motivates this reduction to the "sphere of ownness" that forms the basis for the performance of the analogizing apperception and pairing. If we take seriously what Husserl says in this 1921 essay, such a reduction would only be possible on the basis of the perception of the difference between my lived body and that of the other which in turn has to be the starting point for analogizing apperception. And if analogizing apperception is meant to explain how this gap between the self and the other can be bridged, it is still open to question whether Husserl succeeds or fails in this task.

Notes

[1] Rudolf Bernet (Bernet 2004) gives a brief exposition of the central argument of this text in his article on Husserl's transcendental idealism. I will, however, be working through this argument and its chief corollaries in detail.

[2] Pol Vandevelde explains this point in great detail showing how in Husserl's investigations the transcendental ego plays a dual role. It is both a methodological vantage point from which to discover the conditions for the possibility of the various activities that the self engages in the natural attitude as well as a foundation or source of validity for the activities of the self in the natural attitude which is ontologically prior to the natural self. But Husserl never completely clarified how the transcendental ego could play both these roles (Vandevelde 2004). Bernet (Bernet 2004) reiterates this point when he explains how Husserl is interested not just in describing how we arrive at knowledge of the world but also showing how that knowledge could be valid.

[3] "Wie kann überhaupt ein Subjekt für ein anderes da sein und die Umwelt des einen Subjekts für das andere?" (Hua XXXVI, 155)

[4] "Stehen wir im Reich der wirklichen Erfahrung, so beruht die Einfühlung auf der Möglichkeit, analogisierende App[erzeption] fremder Leiblichkeit und Geistigkeit zu vollziehen, und dabei kann anschaulich nur werden von der fremden Innerlichkeit, was in Rahmen meiner eigenen Erfahrungsmöglichkeit und Fiktionsmöglichkeit eigener Innerlichkeit liegt" (Hua XXXVI, 155).

[5] "Es ist nun klar, dass ich, ein fremdes Ich fingierend, drei Ich zu unterscheiden habe:

1) *Das faktische: ich, der ich faktisch bin.*
2) *Das abgewandelte Ich, in das ich mich umfingiert habe als jenen Leib erfahrend, den ich faktisch nicht erfahre, sondern eben einbilde. Dieses zweite Ich deckt sich mit mir nicht nur psychisch, sondern auch leiblich; d. h. in die Phantasie geht mein Leib ein in passender Abwandlung, und zum Phantasieleib des Phantasie-Ich, das den Anderen 'in der Phantasie erfähr' werdend.*
3) *Das phantasierte 'fremde' Ich mit seinem meinem fiktiv umgestalteten Leib analogen Leib. Ich, der Fingierende, vollziehe keine wirkliche Einfühlung. In der 'Phantasie' vollzieht mein fiktives abgewandeltes Ich (Nr. 2) Einfühlung in den ihm gegenüberstehenden zweiten Leib von 3)"* (Hua XXXVI, 161–2).

[6] What is even more fascinating is the way Husserl describes the effect of the presence of other co-existing subjects on my own experience. Husserl states in no uncertain terms that the presence of the other prescribes rules for the way my own possible experiences will unfold. Moreover since nature is taken to be an intersubjective unity, our own experiences of nature have to be corroborated with those of others before we can make any objective pronouncements about nature which will in turn help glean out irrational subjects from rational subjects.

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Part II

Toward an Archaeology of Constitution

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Chapter 6

An Aporetic Approach to Husserl's Reflections on Time

John Anders

Introduction

This chapter will examine two puzzles that percolate Husserl's *On the Phenomenology of the Consciousness of Internal Time*[1] (*PITC*). They concern: (1) whether or not memory is pictorial and (2) whether or not the temporal determinations (past, now, future, etc.) are categories. Considering these aporetic discussions helps us to understand the time diagrams Husserl uses, as well as some of the motivation behind Husserl's talk of the two intentionalities of retention and his talk of the time-constituting flow. Moreover, this approach to *PITC* helps to highlight the role that aporetic considerations play in phenomenological investigation more generally.

Because these *aporiai* help to drive Husserl's thought through its chronological progression, our attempt to flesh out this problem will, in some ways, resemble a faithful attempt to work through the well documented historical development of thought found in *PITC*. However, it is not my intention to provide an accurate historical narrative, but merely to try to clarify some philosophical problems with which Husserl wrestles.[2]

To make this chapter easier to read I have not quoted every part of *PITC* that I refer to, but only the most crucial passages. Furthermore, all direct quotations appear in footnotes. The references are so numerous and scattered through *PITC* that it would distract from the philosophical narrative to include them all.

Motivating the Discussion: Measured, Objective Time

Because it is our experience lived in the mode of the so-called "natural attitude" that forms the raw material, as it were, upon which the phenomenologist exerts his energies, it is appropriate to begin a properly phenomenological account by thinking about some "un-parenthesized,"

"un-reduced," "objective" aspect of experience. When it comes to time, it seems that objective time, the time we measure, is just this starting point. We can think about measured time using the following sort of diagram (Figure 6.1a–b). Imagine that we are counting the ticks of a clock, saying with each tick "now." People frequently represent these nows with a timeline (Figure 6.1a).

For reasons that will become clear later, let us instead draw a cylindrical pipe and mark-off each now that we count as a circular cross-section of the pipe (Figure 6.1b). (For now let's not worry about whether or not the now should be represented as a point, as opposed to an interval.)

As a proper phenomenological analysis begins, measured, objective time as experienced in the natural attitude is parenthesized or put out of action. But even though the phenomenologist brackets off many of the issues that natural science raises about the measurement of time, a certain serial progression in temporal phenomena remains even after the

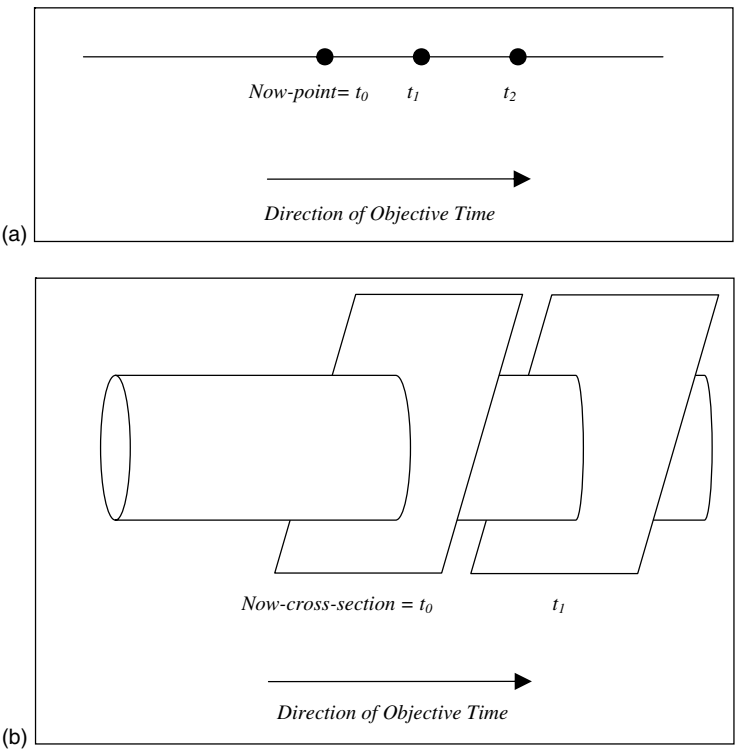

FIGURE 6.1 (a) A typical timeline, (b) A pipe, instead of a line, used as an image of objective time

reduction namely: first there was this, now there is that, and then there will be some other thing. This is what I take Husserl to mean by "objective time" in *PITC*. In this sense of the term, objective time is not a phenomenon to be theorized about, but rather it is merely the serial progression that is given in experience as such (viz., this, then that, and then another). Now, Husserl's reflections on time center around objective time in this sense at least in part because Husserl is, in the end, seeking an account of the so-called "flow" that constitutes the background or context *in which there is objective time*. Husserl's attempts at a phenomenological description of time encounter two difficulties that we will examine separately in the second and third sections. We will then tie these two puzzles together in the fourth section.

The Ideality of Temporal Content: Is Memory Pictorial?[3]

Clearly we are able to compare the contents of a sense-perception to a memory and say, e.g., "that melody which I am hearing now is the very same melody I remember hearing at such and such a time." But how can this content be compared at all or even be said to be *the same* (see n. 47, 311–12 and 317; also n. 50, 327)? Since we say that a memory is a reproduction *of* some content, just as we say that a picture or an image (*Bild*) is a representation *of* some content, it may seem plausible to say that the contents of memories can retain ideality by being pictorial (see n. 45, 299–300, 306;[4] see n. 54, 380). (By something being "ideal" I mean that it is an already constituted meaning, the unity and wholeness of which are not in question.) The idea is this: when I remember the illumined theater I went to last night, perhaps the content of that memory is a picture or an image of the content I perceived last night (see n. 18, 179–83). After all, it is a memory *of* the very illumined theater which I saw, just as pictures are *of* the depicted. Moreover, we often consult sense-perceptions to verify that our memories are accurate just as we consult an original to see if a depiction of it is accurate.[5] Thus memory seems to be pictorial. And insofar as there is clearly a sense in which pictures and that which they depict are *the same*, it seems that *if* memory were pictorial then we could understand its ideality, i.e., how the memorial content is *one and the same* as the perceived content of which it is the memory.

But memory cannot simply be an image or a picture because of the immediacy of remembered content. When I perceive and then remember the illumined theater, there are not two separate contents—the theater and a

memorial picture of the theater. In my memory of the illumined theater, the illumined theater *itself* is the content; an image of the illumined theater is *not* the content. In memory, the illumined theater itself is given—not as now, but as past. On the other hand, in pictorial representations we have two things—the image and the original—both of which are separate contents, the one pointing to the other. In a picture or painting of the illumined theater, the illumined theater itself is not there; in a memory of the illumined theater, the illumined theater itself is there, but it is there as past (n. 18).[6] Accordingly, pictorial-consciousness and memorial-consciousness intend their objects differently: pictures are *of* their originals in a mediate way; memories are *of* their content in an immediate way. (Further evidence for this immediacy comes from the fact that I do not have to consult sense-perceptions to know that memories are memories of certain contents; I have immediate access to the content of memories and to their being-past (see n. 18, 186; n. 47, 316; also Husserl 1983, 80. Therefore, it is the immediacy of our access to memories that shows why they are not pictorial (n. 45,[7] n. 47).[8]

But note that this immediacy seems to be at odds with the ideality of memory: how can memories have the same contents as sense-perceptions if memories are sensory contents somehow given *again* as past? Even if being-past is taken as a determination that does not alter the content of the experience *on its own*, we should still wonder how the same content can *re*appear, as it were, through objective time.

These considerations show that even though memories are derivative from something—and hence seem pictorial—memories cannot be described as pictures or images. Memories seem both to be pictorial and not to be pictorial. This puzzle stems from a certain way of thinking about time which is reflected in the way we constructed our earlier time diagram (Figure 6.1b). In the terms of the earlier diagram, we are thinking that something is perceived as now at one cross-section of the pipe, and then, as the cross-section moves through the pipe, we arrive at another cross-section of the pipe at which the content of the earlier perception, which is now a memory, is still *there* somehow. The memory is not there as now, for now something else is being perceived. But since the memory is *there* and it seems that nothing that is now is giving it, the memory must be said to be a *re*production of that earlier sense-perception. For the reasons we looked at above, we are then inclined to ask: are these reproductions like pictures? Glancing back at our diagram we can now say that as the now-plane progresses through the pipe, whatever sorts of reproductions it leaves behind, these reproductions are not pictorial-representations

though they are similar to pictures in that they are, in some way, reproductions *of* something.

It might seem that just as these considerations show us that memories are not pictorial representations, they also show us that memories are not reproductions (even though I have been referring to them as "reproductions"). Perhaps we would prefer to call a memory a re-experiencing or even a re-living of a sense-perception, since these terms clearly and decisively distance memorial consciousness from pictorial consciousness. But this puzzle shows us that memories—while not being pictures or images—still have something in common with pictures and images, namely being derivative from something. The term "reproduction" captures, I think, the way in which memory is parasitic upon sense-perception, while it runs the risk of conflating memories with pictures; the risk of this confusion is justified by the need to express the derivative character of memory. Accordingly, if we use "reproduction" to mean something that is both derivative, but not representational, we can say that memories are reproductions.

We have seen that, despite appearances to the contrary, memories are non-pictorial and that their non-pictorial status leaves us without an account of the ideality of their contents. Thus the task that remains is to understand how memories can be non-pictorial reproductions of things that are behind them in the horizontal direction, reproductions which nevertheless preserve the *very same* content. As we said above, we will also need an understanding of the progression along this pipe which allows us to understand the determination "as past" as a determination that does not itself alter the reproduced content.

Are the Temporal Determinations Categories?[9]

It may be tempting to (mis)read the opening section of Hegel's *Phenomenology* to be saying something like the following about the temporal determination now: "you may think that the now is some completely singular, unrepeatable label, but, in fact, the now belongs to noon and night and morning, etc., so that the now is not at all a particular, but rather a universal designation" (Hegel 1977, A.1 especially paragraphs 95–7). (That is to say that the now may look like a general category into which different things fall at different moments). In terms of Figure 6.1, this thought would be expressed by saying that the now is a property that at different moments was shared by all the things in a given cross-section, at all the cross-sections thus far

sliced out. Likewise, groups of things can be said to have been now and to be going to be now, etc. Thus, *mutatis mutandis*, it seems like all the temporal determinations (now, past, future, etc.) are broad categories of things as if they were species and genera.[10]

Just as Aristotle does not consider time and motion to be categories, nor things explicable in terms of them,[11] Husserl continually asserts the non-categorical nature of temporal determinations. He does this most directly by contrasting temporal determinations with color determinations, which are one of his favorite examples of general categories.[12] To begin with, the temporal determinations are not general the way categories like color are. Say that everything on this table is both red and now. Each object on the table has its own bit of red (i.e., color is spatially distributed); all the objects share *one* color only because all the red patches are specifically or generically *one*. By contrast, all the objects have the *same* now, and it is not the same now specifically or generically since there is only one now relevant here. Thus categories like color are repeated when they are applied again and again, but the now is never repeated in this way (n. 26[13]). Correlatively, the temporal determinations are not purely individual contents. As we just saw, color-patches are individual and color-kinds can be repeated. But not only is the now not repeatable, it is not individual. That is to say that the now is not a specific property to be found in this or that thing, but somehow it is "abstract," applying at once to many things without being unique to any (n. 35).[14] Thus temporal determinations differ from color-determinations in at least these two ways: color-concepts like "red" *are* kinds under which red-things fall, and particular patches of red are individually distinct, repeatable contents, but the "now" is *not* a kind under which things-that-are-now fall nor is a given now an individual content that can be repeated (see n. 45, 302; n. 54).[15]

Now, the temporal determinations, insofar as they help to constitute temporal duration, admit of the application of several rather fundamental categories like equality (n. 36, 255) and, more generally, magnitude (255), e.g., "The time-interval from then to now is equal to such and such." Also it is clear that the temporal determinations can be predicated of categories and category-complexes, e.g., "The brown beer bottle is now." Thus while not themselves being categories, the temporal determinations are present along with categories: they are syn-categorematic. (This terminology comes from the *Logical Investigations* where Husserl distinguishes "syncategorematic meanings" or non-independent meanings from "categorematic meanings" or independent meanings.[16] However, in calling the temporal determinations "syncategorematic" I am not trying to spell

out the purely grammatical or syntactical function they play in propositions, so much as distinguish their intentionality from the intentionality of categories.)

Thus we are left saying that even though the temporal determinations seem to be repeated or instantiated over and over again—something true of categories—they are not categorical but syncategorematic. This puzzle also arises from a way of thinking about time that is reflected in the sort of diagram with which we have been dealing, viz., one in which we think of the temporal determinations as cuts of *objective time*. For the puzzling sort of repetition or instantiation is one that occurs *through objective time*. In fact, we could restate the puzzle this way: how can something syncategorematic find itself repeated in objective time as if it were a category?[17]

I want to emphasize that this and the previous puzzle are not puzzles merely associated with the conclusions Husserl presents, but these puzzles are, I think, the *very things* Husserl worried about and chewed on as he worked toward his final account of time-consciousness. Phenomenology could not have clarified the structure of time-consciousness without first being confused on these points and then gaining clarity through that confusion.

That the Two *Aporiai* Are Really One Puzzle

The puzzle about memories being reproductive yet non-pictorial and the puzzle about the temporal determinations being present over and over again and yet non-categorical are two aspects of the same difficulty. An identification of this central *aporia* will help us shed light on Husserl's use of time diagrams (fifth section).

Let us say that memory is reproductive yet not in the way that pictures are, but rather that memories present the same content as sense-perceptions but *as past*. Now since memories don't have content independent from the content of sense-perception, whatever makes the memory distinctively a memory (and not a sense-perception or an expectation) cannot be an independent thing nor can it be a group or kind of independent things. Put differently: if the distinctively memorial aspect of memories were a category—an independent meaning, like a thing or a group—then memories would have content independent from the content of sense-perceptions; but they do not. Now what makes a memory a memory (and not a sense-perception or an expectation) is simply the designation "past." Thus the designation "past" cannot be a category (even though, as we saw in the

second section, it seems to behave like one). Similar things could be said for the other temporal determinations. This shows how the puzzle about the non-pictorial character of memories leads to the puzzle about non-categorical character of the temporal determinations.

Again, let us suppose that the temporal determinations are syncategorematic. Then memories, insofar as they are given as past, contain a syncategorematic element; indeed, it is through this syncategorematic element that they differ from sense-perceptions and expectations, etc. But a painting of the illumined theater is a different sort of thing than the illumined theater; pictures and images differ from their originals by being different sorts of things, i.e., they differ in a categorical way. Thus memories, insofar as they differ from sense-perceptions *syn*categorematically, cannot be pictures of sense-perceptions (though, as we saw in the third section, they seem to be in some respects). This shows how the puzzle about the temporal determinations leads to the puzzle about the non-pictorial nature of memories.

If these two puzzles are really two sides of one coin, then what central problem do they point to? The central problem must concern the nature of the reproductive structure of time-consciousness in objective time. More precisely, we can see that somehow these reproductions (e.g., memories) must be content-preserving and syncategorematic even though they are not pictorial representations nor repeated categories. As we have seen in the above sections, our current diagram lends itself to a way of thinking about these things that does not seem to get us out of the puzzle: indeed, it seemed to get us *into* the puzzle! For when we thought of time-consciousness as something *referred to moments of objective time*, we found ourselves in these aporetic difficulties. The relevant reproductions need to be syncategorematic and non-pictorial, but when viewed through objective time they seem to be something more like pictures and categories. Memories, for example, seem to be pictures or images because they point to something earlier in objective time. Likewise, being-past seems to be a category since it gets repeated and re-instantiated, as it were, through different chunks of objective time. As we said above, there are problems with asserting both these things (second and third sections). But, on the other hand, if memories are not pictorial, then how can they embody the same content as perception? And if the temporal determinations are not repeated like categories, then how do they seem to reappear through objective time? Being-pictorial and being-categorically-repeated presented themselves as ways of understanding the ideality of memories

through objective time, so how can we account for their ideality if we deny memories their pictorial, and the past its categorical, status? Therefore, in the most general terms possible, the central difficulty here consists in figuring out how contents and their reproductions can be ideal through objective time.

What Husserl realized is that the whole of time-consciousness needs to be conceived of in a different way to address this concern. As we will see in the next section, the way he discusses his diagrams later on in *PITC* reflects this different way of conceiving of things.

Does the Account of Double Intentionality Solve the Puzzle?

In general, the perception of an object happens along with an awareness of that act of perception (n. 8).[18] Accordingly, the perception of something temporal happens along with the awareness of the temporality of that very act of perceiving (n. 13, 170, n. 50, 332). Insofar as even the earliest bits of the time-consciousness texts recognize this seeming double activity, Husserl's final "solution" to the *aporia* encountered above is prefigured in the reflections that motivate it (n. 45, 300; see n. 47, 318). For Husserl's final solution hinges upon assigning something like a double activity to what seems to be a single mode of consciousness, viz., he assigns a double intentionality to retention (and presumably protention as well) (see n. 54 especially 378). According to this account, while retending consciousness is holding on to the tone as just-having-past, it is also holding on to the phase of consciousness (the retention) that intended that very tone. Husserl calls the totality of these phases of consciousness (as opposed to the things that consciousness intends) the time-constituting flow (n. 50, 326, n. 54, 379ff.). His account has it that somehow the relevant reproductions get put together so as to make possible the relevant sorts of idealities all thanks to the syntheses accomplished with respect to this time-constituting flow.

How should we think about this account in relation to the aporetic worries raised above? It seems to me that Husserl's language in the final sections suggests that the "solution" to the impasse can be indicated in the diagram by switching around the usual time-line diagram in a surprising way. In the first section we presented a version of a time-line that seems to have been borrowed from the pages of a continuum mechanics textbook

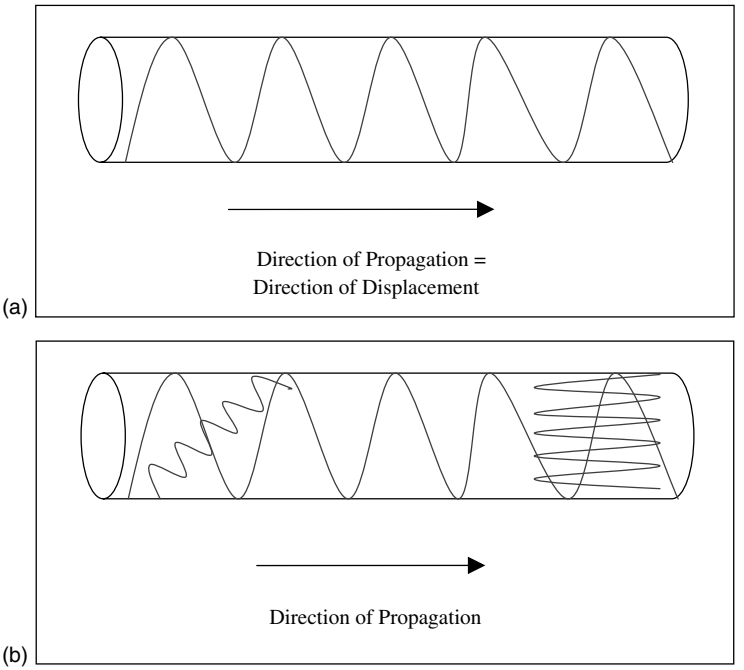

FIGURE 6.2 (a) Pipe with waves traveling only in the direction of displacement, (b) Pipe with waves propagating from left to right, but in which there are displacements in different directions

(Figure 6.1b). To expand on this: imagine a pipe filled with some sort of fluid and imagine that we force waves to propagate along the pipe by hitting it or shaking it. In certain conditions, the displacements of the fluid will be parallel to the propagation along the pipe (Figure 6.2a). In the general case, the displacements can be in any direction (Figure 6.2b).

Even in the most complicated case, one can always distinguish two independent components of these waves. The displacement that constitutes the wave can be in a direction parallel to the direction of the propagation of the wave along the pipe (longitudinal) or it can be in a direction perpendicular to the direction of the propagation (transverse or shear); all other displacements can be thought of as linear combinations of these two (Figure 6.3).

Such an image initially suggests itself as a way of thinking about *objective* time in which the horizontal axis (longitudinal) is the axis along which time runs from past to future just as the waves propagate from left to right (Figure 6.4a). If one thinks of each now as an infinitesimal moment

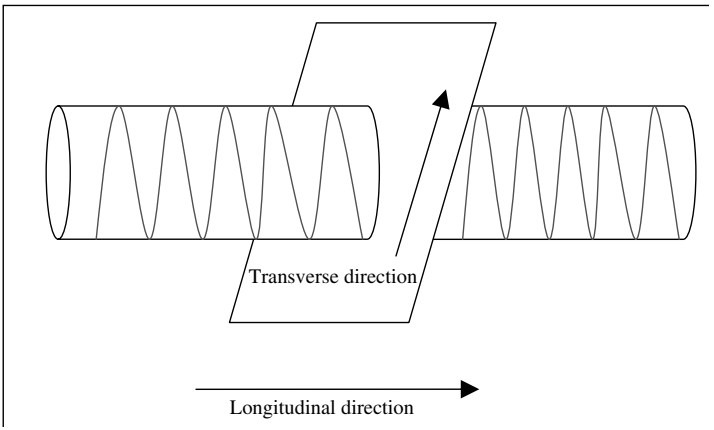

FIGURE 6.3 Illustration of longitudinal and transverse components of waves

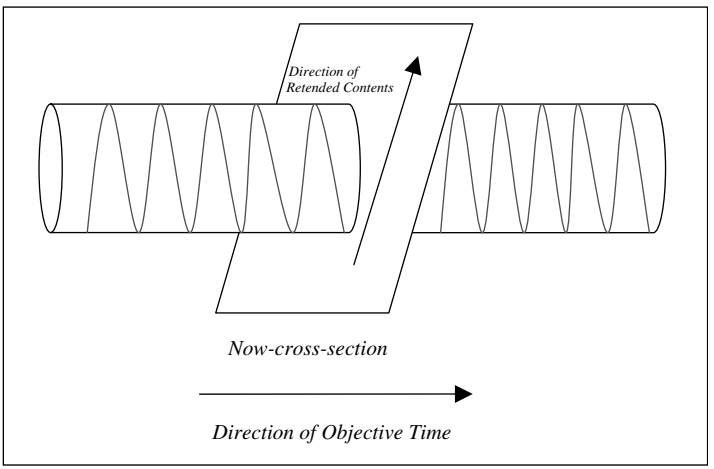

FIGURE 6.4 (a) A pipe image of the flow of objective time, which is indicative of Husserl's early thought

of time, then every now is simply a cross-section (*Querschnitt*), and the whole stretch of time is simply a continuum filled with such cross-sections (*Querschnittkontinuum*) (see n. 33, 232).

Husserl's actual diagrams (Figure 6.4b) sometimes vary as to which way he tilts the vertical plane relative to the horizontal base, but this is an entirely incidental feature of his diagrams. More relevantly, his diagrams are always two-dimensional.

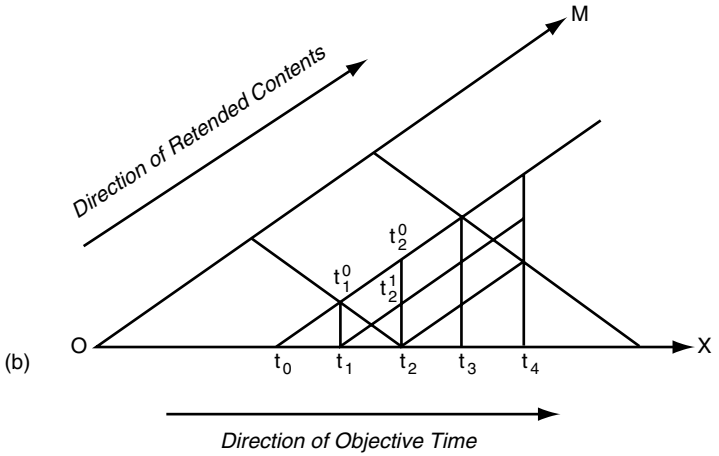

Figure 6.4 (b) A typical example of Husserl's two-dimensional diagrams (n. 50, 330)

Figure 6.4b shows a typical example of Husserl's two-dimensional diagrams (n. 50, 330). Here the OX axis (the abscissa) is in the horizontal direction and the OM axis (the ordinate) is in the transverse direction. The designation "t_1^0" means "the content perceived at t_0 as remembered at t_1. Instead of OM I draw a plane cutting across a three-dimensional pipe parallel to OX. Angle MOX has no significance. Also the lines running from the upper left hand to the lower right seem to be the work of someone too eager to connect the dots, whether Husserl or an editor. The directionality of this diagram represents Husserl's early thought.

Drawing the three-dimensional pipe-like diagram helps to highlight the continuum mechanics context in which Husserl describes, and surely thought about, his own two-dimensional diagrams.

I take it that Husserl had an image something like Figure 6.4a–b in mind throughout the early bits of his writing. For, as we did above (second and third sections), one can use this sort of description of objective time to raise the puzzles about the non-categorical nature of the temporal determinations and the non-pictorial nature of memory. Indeed, both these puzzles came from thinking of temporal phenomena over and against the progression of objective time, taken as that fundamental thing with respect to which there was propagation. If that is so, then Husserl's final solution involves rotating the "direction" of objective time (the "modification" of past into present and present into future) counterclockwise and seeing objective time as something occurring along a temporal axis which is itself orthogonal to another, more fundamental temporal dimension—the time-constituting

flow (Figure 6.5a–b). Objective time is no longer fundamental. Accordingly, on the noetic side, Husserl will now speak of each retention having a cross-intentionality (*Querintentionalität*) and a horizontal or longitudinal intentionality (*Längsintentionalität*) (n. 54, 379–80); in his mature thought, the cross-direction represents the vertical progression of objective time, while the longitudinal-direction represents the horizontal flow.[19] (I agree with both Brough (1972, note 11 on p. 86) and Larrabee (1994 note 18) that *Längsintentionalität* is not intended to suggest a geographical metaphor. In this sense it is wrong to translate it as "longitudinal." Rather Husserl has in mind "longitudinal" in the sense in which continuum mechanists use the term, which means, roughly, horizontal; the counterpart to longitudinal in this sense is transverse, not latitudinal). According to this image the objective time of contents, say tones, flows transversely from bottom to top. Retending consciousness holds on to the lower moments and protending consciousness anticipates the upper moments as the temporal determinations undergo "modification." This temporal axis is to be contrasted with the horizontal axis which is parallel to the pipe along which the fundamental flow occurs.

The diagram in Figure 6.5a is strictly analogous to the usual sorts of diagrams Husserl draws (see Figure 6.4b where "$t_1^{\,0}$" is written "$(t_0)@t_1$"); this way of drawing it stresses the way in which both intentionalities are later characterized as if they were both components of one flow; it is as if both

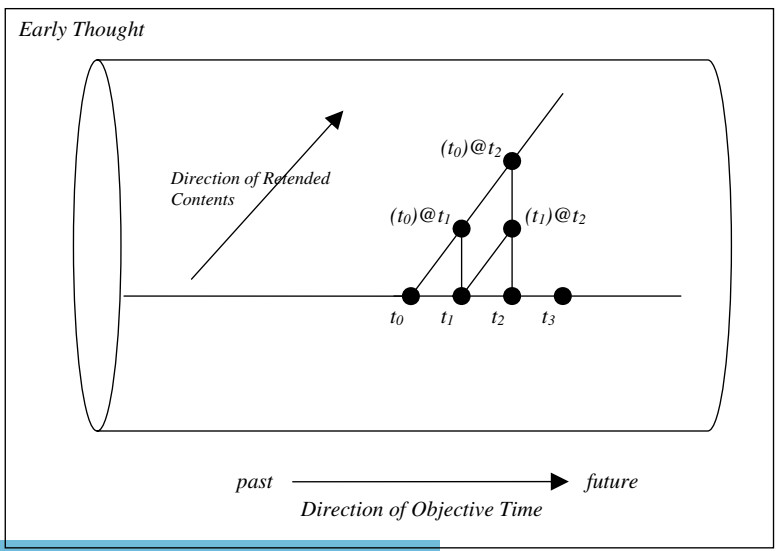

FIGURE 6.5 (a) Diagram strictly analogous to the usual sorts of diagrams Husserl draws

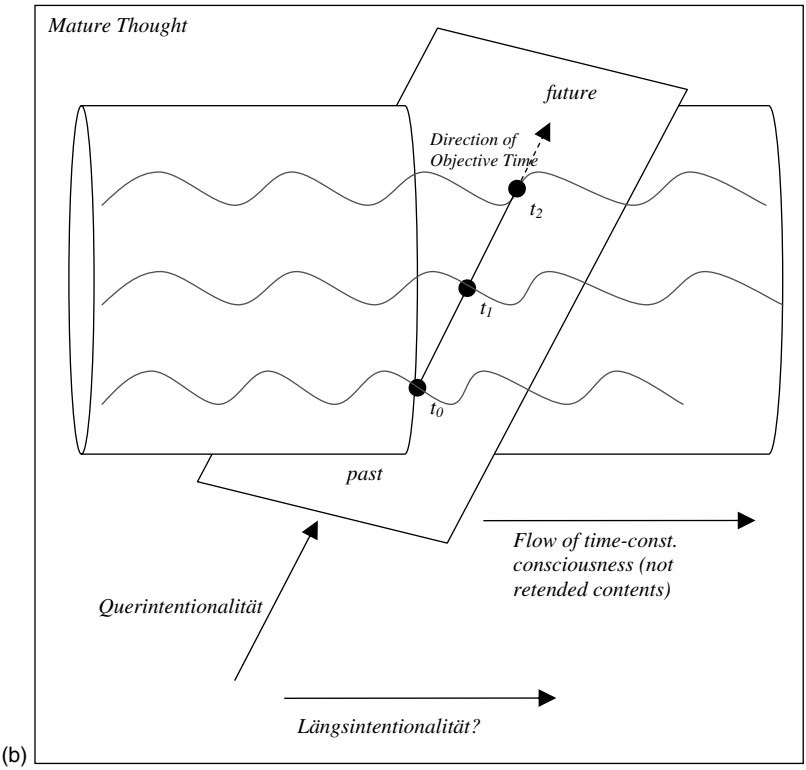

FIGURE 6.5 (b) Diagram representing Husserl's mature thought

intentionalities are components of a wave propagating through a pipe. The directions in this diagram are still indicative of Husserl's early thought.

The diagram in Figure 6.5b is to represent Husserl's mature thought. It should be contrasted with the diagrams that represent his early thought (Figures 6.4a, 6.5a). The obvious differences are that what was the direction of objective time in his early thought is now the direction of the flow, and what is now the direction of objective time in his mature thought was the direction of the retended contents in his early thought. The progression of retended contents is as close as his early thought comes to a concept like the flow. Also it differs from a diagram like Figure 6.4b in that it stresses the way in which both intentionalities are like two components of one continuous flow.

This image, this diagram, is fruitful since the way in which it suggests we should think about time seems to solve the *aporia* the other diagram was caught in. Recall that we were puzzled at how consciousness contains

a reproductive structure that, operating through objective time, gives rise to syncategorematic yet repeatable and non-pictorial yet reproductive sorts of contents. These difficulties are associated with understanding how time-consciousness gives rise to reproductive structures which maintain their ideality *through objective time* (fourth section). In this new diagram, we can see that while a component of time-consciousness, objective time, progresses vertically (future becoming now, now becoming past, etc.), another distinct component of time-consciousness flows horizontally; the horizontal component does not serially progress through objective time. A vertical cross-section of the pipe simply shows a series of contents progressing through objective time. For example: tone A, then tone B, then tone C. However, if we took a horizontal slice of the pipe, we would not have another time-line running its own course; instead we would have cut off some slice of the "standing-streaming-presence" of our consciousness of things. For example, perhaps a horizontal slice would hold: the perceiving of the sounding tone, the expecting of the tone about to sound, the retending of the tone that just sounded, the recollection of the tone that already sounded, and other reproduced phases of our awareness of a tone (see Figure 6.5c). Note that these phases of consciousness are not serially ordered.

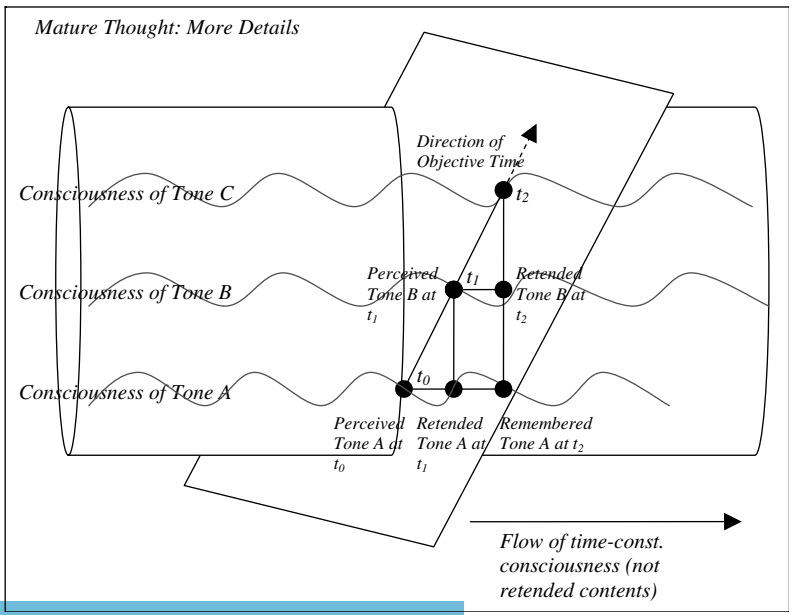

FIGURE 6.5 (c) Husserl's mature thought with more details

The image in Figure 6.5c suggests that when we attend to an objective series of contents (e.g., A, then B, then C, etc.) we are attending to a mere cross-section of the fundamental non-serial flow or "stream," if you like, of consciousness; it suggests that the bulk of our experiencing (both in the natural attitude and within the reduction) ignores the greatest part of this flow, being so narrowly focused on a mere cross-section thereof.

Now, in order to solve the puzzle we looked at, this horizontal or longitudinal aspect of retention must allow for the memories it constitutes to remain ideal and the temporal determinations it assigns to remain syncategorematic across objective time. How might it do that?

The account seems to go like this: when we remember the illumined theater from last night the illumined theater itself is able to be the content of that memory since our retentions (or primary memories) of the illumined theater hold on to our retention of that illumined theater (and not just the retended content). Furthermore, through objective time, retentions always give way to further retentions which somehow contain them (see, e.g., n. 50, 327, 331). (In this example, we might have a whole series of retentions proceeding from the time when we were seeing the illumined theater last night to the time today when we are remembering it.) Thus, through this horizontal intentionality of retention, consciousness—even at points of objective time well after the initial perceptions—has access to our retention of that illumined theater.

Now one might be tempted to think that so far this account is saying that memories are memories of perceptions (and retentions) and not of perceived (and retended) contents, as if our "memory-bank" were a storehouse of perceptions (and retentions). But this account is not asserting that when I remember, I remember the perception as opposed to the perceived, so much as that in remembering the perceived, the content of that perceived thing is ideal thanks to my retending of the perception, and not thanks to my retending of the perceived contents.

The account continues: since the retention of something comes along with an awareness of the retended thing, the horizontal intentionality of retention also allows the content of the illumined theater to be available well after the perception, and its specific retentional tail, has faded. Now, because the content is still on hand in this way, it does not have to be reproduced again and again through objective time to be made into a memory, and thus the ideality of memories seems to be possible. Put differently: why does the retending of the retention (and not just the retended content) allow for the ideality of contents through objective time? Precisely because no retention in the "series" of retentions *as an act of consciousness* shares in

the serial structure of succession that the retended contents display (viz., first this, then that, etc.). For, since the phases of retentions (as opposed to the retended things) do not possess this serial order through objective time (i.e., they are not absent, then present, then absent again), the phases of retentions can always be *there* somehow despite the non-presence of the retended contents. And, insofar as the phases of retentions are *there* somehow and they give us access to the retended contents they retended, so too are the retended contents *there* in some way. In short, it is because the reproduced phases of consciousness get to swim through the time-constituting flow that content can remain self-identical through objective time (n. 54, 370). (A complete account of time-consciousness will also include an account of how protentions are fundamentally different from retentions; there are not prophecies swimming through the time-constituting flow).

Moreover, this account has it that somehow these contents of retentions get worked up into memories. And thus the account continues: as a memory, the content, say the illumined theater, acquires the label "past." (Remember that adding "past" to a content need not alter that content, because "past" is syncategorematic.) In fact, everything that gets constituted as a memory is also labeled "past" all thanks to the access the horizontal intentionality of retention gives us to these things.[20] Relying on this intentionality, the synthetic work done (by consciousness?) to the flow of phases designates many things as "past," and does so again and again; it is the continually arising retentions of contents (as opposed to the contents retended), this account says, that allows the temporal determinations to be continually repeated and applied to countless things over and over again (n. 54, 370–1). Thus the temporal determinations, though syncategorematic, can be repeated thanks to the flow (n. 54, 375). In this process, the temporal determinations, though repeatable, never become categories since if they did consciousness would be assigning independent meanings to the contents of the phases of consciousness and the contents could no longer be ideal.[21]

If the flow is this way—and we should worry about why we get to say that it is—then it is possible for the contents of the flow to be syncategorematic yet repeatable and non-pictorial yet representational. The diagram, the image, helps us to see why. A given content can be repeated, almost like a concept, across objective time (vertical intentionality) while retaining its syncategorematic ideality across the flow (horizontal intentionality). Likewise, a given content can reproduce something else at a different spot in objective time (vertical intentionality), and yet be the very same content thanks to the flow (horizontal intentionality). Generally speaking, a given content can be *real* through objective time while it is *ideal* through the flow.

Note that if we thought of the flow as a serial progression through objective time, it could no longer help us think through these puzzles; one way to see this is to note that the new diagram would revert to the old one if the horizontal flow were construed as a time-line.[22]

It almost goes without saying that if it lacked phenomenological evidence this flow would be a purely theoretical solution to the problem we looked at—and a rather contrived one at that. Thus it is crucially important for Husserl to claim that the flow is not completely detached from objective time, i.e., that the two intentionalities in the diagram are not entirely independent from each other.[23] Indeed, Husserl thinks that there is phenomenological evidence that retending and protending consciousness hold on *both* to some part of the horizontal flow *and* to some part of the transverse vertical progression in *one act* (n. 54, 378). Even though the longitudinal flow is more fundamental than its transverse moment, it could not be without it. In continuum mechanics, there are many cases where the longitudinal component is so much greater than the transverse that the longitudinal wave is called the primary wave and the transverse the secondary wave (see Taylor 2005, 16.11). Primary waves can exist without secondary waves, but the longitudinal and transverse moments of consciousness cannot *be* without each other. So, according to Husserl, these should not be understood as two separate acts, but rather both of these intentionalities are present together, being different aspects of some *one act*, so that this seeming double activity of retention is really a *single act* with two intentionalities (see n. 45, 298–300 and n. 54, 378–81). That is to say that the same act that grants me access to a retended content, like a lingering tone, also grants me access to the flow of consciousness that makes it possible for reproductions to be ideal though objective time. Since the transverse aspect of this act is clearly given with evidence, the other aspect ought to have that same status.[24]

Conclusion

This chapter began by motivating Husserl's discussion of temporality in *PITC* by looking at a certain diagram of objective time (first section). Husserl's attempts at giving a phenomenological account of time led to two puzzles: (1) how can memories seem pictorial yet fail to be pictorial representations (second section) and (2) how can the temporal determinations be syncategorematic yet repeatable like categories (third section)? We found that these two puzzles were really two aspects of the same puzzle: how can the reproductive structure of time-consciousness relate to

objective time as something not in it, and yet, be in objective time (fourth section)? Ultimately, Husserl claims that the background for all the temporal determinations in their continual modification is the time-constituting flow which is intended by one of retention's (and one of protention's) two intentionalities. We presented this move in Husserl's thought by looking at an image his language suggests, viz., imagining time as a wave propagating through fluid in a pipe. Accordingly, the move to a time-constituting flow is the result of rotating the "direction" of the "flow" of objective time so as to see objective time as a slice of the more fundamental "streaming" of the time-constituting flow (fifth section). Finally, we described how Husserl's understanding of this flow allows him to push through these *aporiai* (end of the fifth section).

Thus the chapter as a whole presents the following trajectory of thought: we began by thinking of objective time as the fundamental moment of temporality, which lead us to think that memory might be pictorial and the temporal determinations categories. But when we found that memory is non-pictorial and the temporal determinations syncategorematic, we were lead to worry about how reproduced content could be ideal through objective time. Only by realizing that as our retentions grasped these contents they also grasped the flow—a more fundamental moment of temporality than objective time—could we find a way to account for these seemingly conflicting observations and work our way out of these impasses.

In conclusion, it is important to note that while breaking through *these* impasses, the account of double intentionality—insofar as it involves the flow of time-constituting consciousness—seems to raise additional *aporiai*, not the least of which concerns its own constitution. How is the constituting flow constituted? Is it self-constituted? If so, how does that work? In connection with these questions, Husserl muses about the possibility of an atemporal act of an "ultimate consciousness" (n. 54, 382) which may constitute the flow. Yet while an *ultimate* consciousness seems to be the natural correlate of an *absolute* flow, its status *as a piece of phenomenology* seems, at the very least, to be questionable (see n. 54, the very end). Accordingly, if we are to pursue Husserl's account we need to ask whether Husserl has really solved the *aporia* with which we began given that his attempted solution could be compelled to appeal to something our access to which is less than secure.

Husserl's more polished works may suggest that phenomenological description is a straightforward, in no way apagogic, sort of enterprise: after the reduction a field of pure essences is opened up and the phenomenologist's task is simply to say how those things appear. The *PITC* texts help us to see the role that aporetic investigations play in phenomenological

description; the description of parenthesized phenomena is not free of difficulties. Therefore, even if, in the end, the *PITC* leaves us at an impasse it is immensely valuable insofar as it highlights the aporetic difficulties that lie within phenomenological description—difficulties that otherwise may have remained concealed.

Notes

[1] Here I am speaking of the "unedited" B manuscript found in Husserl 1985, *Hua X*, edited by Bernet and reprinted by Felix Meiner Verlag. (I will not be citing from the edition of these texts that Stein and Heidegger are said to have edited.) All English translations refer to Brough's translation printed by Kluwer (Husserl 1991); all page numbers are of those of the German text which Brough also gives as side pagination.

Husserl also worries about these same issues in later writings, e.g., Husserl 2001b (Part II, Division III).

[2] See Brough 1972 as well as the discussion of time in Bernet, Kern and Marbach 1993 for a detailed account of the historical progression that occurs in Husserl's thought from 1893–1917. The usual chronological story involves a shift in Husserl's thought from a time when he employed the "apprehension/apprehension-content" schema to explain time-consciousness to a time when he abandoned that distinction and began to favor an account in terms of the double intentionality of retention and protention. The philosophical problems that I am highlighting occur *throughout* his writings; their resolution—if one is achieved—may not coincide with Husserl's move away from the apprehension/apprehension-content distinction. See, for example, PITC n. 47, 311–12 in which Husserl still seems to be worried about the puzzle I will focus on, but which Brough thinks is after Husserl has abandoned the apprehension/apprehension-content schema. (Marbach et al. place the move at n. 50; both agree that n. 50 is where Husserl first states his new position). In this regard, see also n. 47, 316. Note that at n. 46, Husserl uses the apprehension/apprehension-content schema to try to resolve the very puzzle I will focus on.

[3] This question is raised most directly in n. 18.

[4] "Does not memory also offer to me, at least in general, a mere *picture* [*Bild*]—that is, any memory in which I do indeed have an appearance, but with the consciousness that what has been is itself given in the appearance with respect to certain particular traits, while with respect to others it is merely portrayed?"

[5] The perception of something now is the most fulfilled moment of awareness of that thing; it has complete "evidence." See n. 1, n. 2, n. 18, n. 22, n. 26 (the now as "climax-point"), n. 35 (246), n. 37 (269), n. 39 (282).

[6] "The painting furnishes a perceptual presentation . . . to be sure, we do have pictorial representation in such paintings . . . but in memory this is not the case. 'The illuminated theater' [which I am now remembering]—that does not pretend to be a more or less analogous picture [*Bild*]. What is meant is not something similar to the theater, not something similar to what there appears; what is meant

is the *appearing thing itself*, the appearing theater, the theater appearing in the character of the now" (184).

[7] "We know that the 'past' in memory's case also does not imply that in the present act of remembering we make a picture for ourselves of what existed earlier or that we produce other constructions of this sort" (309).

[8] "It is fundamentally wrongheaded to argue: How, in the now, can I know of a not-now, since I cannot compare the not-now—which, of course, no longer exists—with the now (namely, with the now in the memory image [*Bild*] that I have on hand in the now). As if it belonged to the essence of a memory that [I] take an image on hand in the now for another thing similar to it, and that I could and must compare them as I do in the case of pictorial representation. *Memory* is not image-consciousness but something totally different. What is remembered, of course, does not now exist, otherwise it would not be something that has been but something present; and in memory it is not given as now, otherwise memory would precisely not be memory but perception. A comparing of what is no longer perceived but merely remembered with something beyond it makes no sense. Just as I see being-now in perception and enduring being in the extended perception as it becomes constituted, so I see the past in memory, insofar as the memory is primary; the past is given in primary memory, and givenness of the past *is* memory (original givenness as primary memory, givenness once again as recollection)" (316).

[9] This question is raised most directly in n. 26.

[10] See Husserl 1983, § 12–13 for a discussion of the notion of "category," "genus" and "species."

[11] Aristotle distinguishes four irreducible senses of being, one of which is that which is said according to the categories (thinghood, of-what-a-sort, how-muchness, etc.), another of which is that which is meant when one says something *is* in *energeia* or in *dunamis* (see *Metaphysics* VI.4). Because Aristotle seeks the definition of motion in terms of *energeia* and *dunamis*, and seeks the definition of time in terms of motion, his account of both remains irreducible to the categories insofar as *energeia/dunamis* are irreducible and distinct senses of being from the categories.

[12] See Husserl 1983, § 13 (first full paragraph of page 27).

[13] "But is the temporal not something on which I can focus my attention, something that can be perceived? And, as a given 'moment,' as a character, is it not also something that has time? If I consider the contents of the visual field in the now, they all exist at the same time, are all now. But each content does not have its own individual now-moment; on the contrary, the total consciousness has one and the same now, absolutely identical, and this now is definitely not a moment that admits of any conceivable multiplication. This is altogether different from the case of color moments, which are present in repeated instances and are only specifically identical. The now is not a species" (n. 26, 207; see also n. 27, 213).

[14] "But what about the *temporal determinations* that are nevertheless *universalities*? . . . The extent of time is not there twice, whereas what fills that same extent of time can be there twice, as perfectly alike (specifically identical) in the two cases . . . The extent of time is something abstract. It is necessarily the temporal extent of some individuality or other. But it is not an individual moment and it is not

something to be duplicated, not something to be specified. *It is not individual.* Individuality is *in* it, and necessarily in it. Assume that a single extent of time taken *in abstracto* . . . is filled by a single instance of the species color, and that by virtue of being so filled, *individuates* this species—well, the *extent of time does not constitute individuality* in this way. For several individual cases of color can fill the *same* extent of time. The identity proper to the extent of time is an *identical moment belonging to a plurality of individuals*, but not something specific multiplied in the individuals (n. 35, 250). See also n. 50, 326—"the flow is abstract."

[15] ". . . it is evident that the time-constituting appearances are objectivities fundamentally different from those constituted in time, that they are neither individual objects nor individual processes, and the predicates of such objects or processes cannot be meaningfully ascribed to them" (370).

[16] See Husserl 2001a, Investigation IV, § 5 and III, § 2; IV, § 9b is also relevant. Likewise Husserl distinguishes the categor***ical*** contents of meaning from *categor**ial** form* that structures them (Investigation VI § 40ff.). So too in *PITC* Husserl calls the syncategorematic temporal determinations "categorial": "The *temporal form* is not a phansiological form in the ultimate sense, not a form of absolute being, but only a form of "appearances"; that is, only a form of individual *objects*. We must say: It is not an *absolute* but only a *categorial* form" (n. 44, 296; compare n. 30, 229).

Also note that in § 15 of *Ideas 1*, Husserl uses "self-sufficient" and "non-self-sufficient" in a more narrow sense than he does in the *Logical Investigations*. According to the former sense only a *tode ti* can be self-sufficient; according to the latter sense genera and species are also self-sufficient.

[17] That a similar sort of *aporia* could be raised for any syncategoremata shows how fundamental time-constituting consciousness is for the possibility of articulating judgments and having categorical intuitions (or direct representations of states of affairs).

[18] "If I represent *A*, do I thereby also represent *implicite* that I am perceiving *A*? . . . Is not the one in a certain sense given with the other?" (n. 8, 161).

[19] It is not clear to me at exactly what point in *PITC* Husserl flips the diagrams. As a whole n. 50 suggests that, at that point, Husserl had not yet flipped the diagram, though some of his remarks on p. 327 give me pause. (Perhaps in n. 50 he is puzzling over whether the horizontal axis (the ordinates) should represent objective time or the time-constituting flow.) At any rate, it is clear that by n. 54 this rotation has occurred.

[20] We need more than mere access to these contents, we also need some kind of ordering relation that tells us which ones preceded which. Perhaps this ordering is simply given by the way retentions nest one inside the other; perhaps it is a special passive synthesis of consciousness.

[21] There is also independent phenomenological evidence for this. Categories seem to be formed though some sort of reflective and abstractive process (think about Kant's discussion of the origin of concepts in the *Jäsche Logic*). But we by no means experience this sort of reflective and highly mediated process as consciousness determines temporal sequence. This is a passive, not active synthesis.

[22] It seems that contents can be "awakened" and "put to rest" in any number of ways throughout the horizontal flow. This is why Husserl says that the vertical layers (the ordinates) "blend" with their horizontal neighbors (n. 50, 332). Despite the

complicated currents in the flow, there is remarkable regularity in the way that the flow puts things together: for example, memorial contents always get the label "past" and never the label "future" (n. 54, 373; also relevant is n. 45, 302–3). These regularities let us speak of the parts of the flow *even insofar as they are in the flow*, i.e., along the horizontal axis, as things that are ordered in some "*quasi*-temporal" way (n. 54, 381). But, again, if this ordering were thought of as the ordering that objective time gives to contents, then the two temporal dimensions would collapse into one and the flow would no longer be the thing it needs to be to solve our puzzle.

[23] See n. 50, 333. But also note the immediately following paragraphs.

[24] One could ask whether memories have the same double intentionality that retentions do. You might think they do since, just like retentions, they seem to intend both the thing the memory is of and the awareness of the memory. You might think they do not since retention or primary memory is a continuously unfolding act given with full evidence, while memories are discrete contents lacking this same full evidence. It could be that the continuity and evidentiary-status of retentions is part of what allows them to grasp the flow. If so, then the account of double intentionality would apply to memories only insofar as they are constituted from retentions or primary-memories. See marginal note n. 50, 329.

Chapter 7

A Positive Account of Protention and its Implications for Internal Time-Consciousness

Neal DeRoo

Protention is often understood as being equivalent to retention but functioning in the other (future) direction. This, I would argue, has prevented a full appreciation of protention's importance to phenomenological scholarship. In this paper, I will elucidate Husserl's positive account of protention. I will argue that the view that protention is like retention, but in the other direction, is insufficient. Abandoning this negative view, I will explain what is unique about protention, and how it helps make sense of such key phenomenological concepts as fulfillment, passive intentionality, and self-constitution.

I will begin by briefly sketching out Husserl's broad position on internal time-consciousness, thereby showing how protention *can* be understood as an inverse retention (first section). Next, I will move to a closer examination of the concept of retention, in order to begin to understand what it would mean for protention to be an inverse retention. In this examination, it will become clear that retention enables Husserl to escape the content-apprehension schema, and the problems that result therefrom (especially the problem of infinite regress), via the twofold intentionality of retention and its relation to absolute consciousness (second section). Alongside this advance will emerge the question of *how* retention is able to foster such a double-intentionality. The distinction between general and particular fulfillment will begin to solve this problem of the constitution of the double-intentionality. In doing so, it will suggest that the concept of protention might be a more fruitful area of analysis than is retention for trying to determine the possibility of the constitution of the double-intentionality of absolute consciousness (third section). I will then take up this suggestion, and note how the "striving" character of protention, and the two distinct modes (i.e., clarifying and confirming) of bringing to intuition that

protention makes possible, are both unique to protention and necessary for the constitution of the double-intentionality of absolute consciousness, thereby finally confirming that protention is more than an inverse retention (fourth section). I will end by drawing out the implications of this positive account of protention for our understanding of retention and its relationship to absolute consciousness. This conclusion will suggest that several other key aspects of phenomenological thought should also be re-evaluated in light of this positive account of protention, and that such a re-evaluation will have consequences for fields as diverse as ethics, politics and psychology.

Husserl on Time

In *On the Phenomenology of the Consciousness of Internal Time* (Hua X),[1] Husserl develops a notion of the "internal" time of the constituting ego. In discussing the immanent time of the flow of consciousness, Husserl expounds a three-fold notion of time as primary impression, retention, and protention.[2] On this model, immanent time begins with primary sensation. These primary sensations then "remain" briefly in consciousness, in the mode of a "running-off" (Hua X, 27ff.), and are constantly modified in this running-off: as I am confronted with new sensations in every instant,[3] the immediately previous sensations are not removed from consciousness, but remain, albeit in modified form—no longer conceived as present, but as just-past. This aspect of consciousness' ability to retain the immediately previous sensations is deemed "retention." Protention emerges here as the correlate of retention, that which works like retention but in the other, future, direction (Hua X, 55; see also Hua III/1, § 77 and § 81). In protention, rather than retaining a past instant, I protend or "anticipate"[4] what will be sensed in immediately future instants. If, at time D, I have a sensation of D and a retention of C, Dc, then I will also have a protention of E, `E, that anticipates the next instant E as not-yet-in-the-now (Hua X, 77, 373), such that at the next instant, E, I will sense E, have a retention of D, Ed, and a secondary retention of C, Ec,[5] along with a protention of F, `F, and so on (see Hua X, 28; Zahavi 1999, 66).

This "temporality" of consciousness is metaphorically called "flow" (Hua X, 75).[6] Within this flow, protention is understood as retention "turned upside down" (Hua X, 55–6), that is, retention in the other direction. Thought in terms of the movement of the flow relative to the now-point of the primal impression, this is perhaps understandable. But is it correct? To

answer this, we must turn to a more in-depth study of the individual acts that make up Husserl's theory of time, and specifically, in line with the aim of this paper, to protention. However, while Husserl discusses primary impression and retention at length, protention does not get much more than a few passing mentions in these lectures. Given that protention is claimed to be like retention but in the other direction, this might not prove to be too problematic, if we can get an adequate understanding of retention. Therefore, let us turn first to retention.

Retention and Absolute Consciousness

Initially, Husserl thought that retention enabled consciousness to keep past moments in the present consciousness,[7] and he struggled with the question of *how* retention was able to achieve this. In lecture notes from 1904–1905 that make up the bulk of the first portion of Husserliana X, Husserl still believed that retention functioned on the model of content and apprehension: the shading-off or adumbration functions as the content that is apprehended by the present consciousness as just past. However, Husserl would soon realize that this model of retention is unsatisfactory, as apprehension-content can be the content for only one apprehension, and therefore the content that is present to consciousness at A can only be used to apprehend the now-phase of A. In order for a retention to be understood as a retention of a past moment, it must already be modified. In being aware of the past *as past*, therefore, retention is a modifying consciousness, that is, a consciousness through and through.[8]

The danger here, of course, is an infinite regress: if retention is already a constituted consciousness, then there must be some other level of consciousness that constitutes that level, and so on, *ad infinitum*. Husserl's notion of absolute consciousness (Hua XXIV, 245) is meant to answer this problem of infinite regress. To avoid infinite regress, absolute consciousness must be self-constituting (Hua X, 378–9). It can be so because of what Husserl calls the double intentionality of retention: retentional intentionality is both a transverse [*Querintentionalität*] and an horizontal intentionality [*Längsintentionalität*] (Hua X, 380). The first intentionality makes possible the presentation of objects to consciousness. The second makes possible the (self-) presentation of the stream of absolute consciousness in which the perception of temporality is possible, and makes it possible because, by way of this horizontal intentionality, absolute consciousness "constitutes itself as a phenomenon in itself" (Hua X, 381). What this double-intentionality

makes possible, then, is that one act (retention) constitutes both the immanent objects of consciousness, and the consciousness of the different temporal modes of givenness of that object over time.

Fulfillment and Protention as (more than) Inverse Retention

However, Husserl himself raises questions about retention's ability to achieve this double-intentionality. In trying to make sense of the role that retentions play in constituting the "unitary stream of experience," Husserl claims that we must take into account the fact that every retention "contains expectation-intentions whose fulfillment leads to the present" (Hua X, 52). Hence, it is the concept of fulfillment that is able to "tie" retentions to the present of the stream of consciousness, and this because of the presence of protention: "Every process that constitutes its object originally is animated by protentions that emptily constitute what is coming as coming, that catch it and bring it toward fulfillment" (52). It is the fulfillment of these emptily constituted protentions that we are made aware of in retention (52).

Unfortunately, Husserl does not develop this intriguing notion in any more detail in Hua X. He does, however, develop it in more detail in other texts of this time (c. 1917).[9] In addressing it, Husserl starts to move away from the notion of protention as merely an inverse retention, and begins to develop a positive account of protention. In the "Bernau Manuscripts" of 1917–1918, Husserl begins to realize that protention, in its capacity for fulfillment, promises to be a more fertile ground for a phenomenological analysis of absolute consciousness (Hua XXXIII, 225–6).[10] The notion of fulfillment gives Husserl a stronger account of how absolute consciousness is self-constituting, one that answers how we can come to know the self-constituting character of absolute consciousness. In order to fulfill a protention, an act must be aware, not just of the constitution of the present object, but also of the constitution of the preceding act anticipating fulfillment. Hence, there is a two-fold coincidence between protended and present moments: first, there is a coincidence between the previous protentional intention and the primal presentation (Hua XXXIII, 25); second, there is a coincidence between that toward which both the protention and the primal presentation are directed. The first of these Husserl describes under the rubric of "general fulfillment," and the second under "particular fulfillment" (Hua XXXIII, 29–30). General fulfillment plays a role in the self-constitution of the primal stream, thought along the

lines of the stream's "self-relatedness" (*Selbstbezogenheit*, Hua XXXIII, 207). Particular fulfillment plays a role in the constitution of the immanent temporal objects.[11] Hence, the notion of fulfillment is able to explain why the double-intentionality needed to make absolute consciousness self-constituting is united in protention in a way that could not be so easily explained in retention. Let us examine this idea of fulfillment in more detail.

A. General fulfillment

General fulfillment provides Husserl with a way of conceiving the constitution of the primal stream of absolute consciousness: because every moment is the fulfillment of a previous protention, every moment can be connected to the previous moment via this general fulfillment. In describing this general fulfillment by claiming that "fulfillment contains in itself retention of the previous intention" (Hua XXXIII, 25), Husserl indicates that every protention has a retentional aspect, and every retention a protentional aspect (Hua XXXIII, 21–2). Every protention grows out of a retentional horizon.[12] Conversely, every point of any momentary phase of consciousness has an essentially protentional aspect, in that every point is directed towards its fulfillment in the corresponding point of the following momentary phase of consciousness.[13] As such, all points along the vertical line of each instant can be viewed as protentions, and not just those that we originally called protentions (indicated in our example by the `). Further, it is only because of these implicit protentions that we can speak of retentions as retaining anything at all: it is the character of fulfillment that entails that the previous instant has been retained (see Hua X, 52), and this is true for every point of a momentary phase of consciousness, not just that point which is a primal impression (F) of what had immediately prior been the primal protention (`F).

It is because of the coincidence entailed in this notion of fulfillment that Husserl is able to posit the self-relatedness that characterizes the stream of absolute consciousness and enables it to avoid the problem of infinite regress: because this coincidence happens *in the very fulfillment*, there is no need of another act beyond the coincidence to unite the past to the future (Hua XXXIII, 27). While the sixth *Logical Investigation* seems to indicate that consciousness of fulfillment requires three elements (namely a consciousness that must be fulfilled, a consciousness that fulfills, and a synthesizing consciousness that ties the first two together such that one can be conscious of the fulfillment), the position

that Husserl describes in the Bernau Manuscripts is that, because of the essential role of protention, this third element (which quickly would lead to a problem of infinite regress) is no longer necessary. As Kortooms describes it: the "consciousness that fulfills is at the same time conscious of itself as being a consciousness that fulfills. Such self-consciousness is possible because the consciousness that fulfills itself retains the protentional directedness toward fulfillment that belonged to the preceding phase of consciousness" (Kortooms 2002, 162). Husserl is thereby able to avoid the problem of infinite regress, as there is no longer recourse to an "external" synthesizing consciousness beyond the fulfillment.[14] This self-related fulfillment is continuously occurring in general fulfillment, in which protention protends the mode of givenness of what is to come: E protends its being given in the next instant as a retention, Fe, Ed protends its being given in the next instant as a secondary retention, Fd, and `F protends its being given in the next instant as F. But again, the mutual implication of protention and retention is at work, as, conversely, Fe retains the protentional directedness of E as well as its fulfillment, F retains the protentional directedness of `F and its fulfillment, and Fd retains the protentional directedness of Ed and its fulfillment (as well as the protentional directedness of D and its fulfillment in Ed, etc.). This complex relationship between protention and retention is able to do away with talk of primal impression:[15] rather than protending or retaining a particular sensation-content, protentions protend retentions, and retentions retain protentions (as well as the retention of previous protentions).[16] As Husserl puts it:

> That which came before as such is retained in a new retentional consciousness and this consciousness is, on the one hand, characterized in itself as fulfillment of what was earlier, and on the other, as retention of what was earlier . . . The earlier consciousness is protention (i.e., an intention "directed" at what comes later) and the following retention would then be retention of the earlier retention that is characterized at the same time as [its] protention. This newly arriving retention thus reproduces the earlier retention with its protentional tendency and at the same time fulfills it, but it fulfills it in such a way that going through this fulfillment is a protention of the next phase. (Ms. L I 15, 24a–b; as translated in Rodemeyer 2003, 131)

All this makes Husserl able to say that the "now is constituted through the form of protentional fulfillment, and the past through a retentional

modification of this fulfillment" (Ms. L I 16, 9a; as translated in Rodemeyer 2003, 138).

B. Particular fulfillment

The emphasis on the "form" or structure of the flow as made up of the movements of protention and retention marks the fundamental difference between general and particular fulfillment. It also entails that, no matter what comes, consciousness remains *structurally* open to a future that remains yet to come.[17] This structural openness is infinite, as every moment would contain a protention, `F, of the next instant, F, which itself would protend its givenness in the following moment as Gf, etc., as well as the protention, ``G, of that next instant's protention, `G, of the instant, G, that comes immediately after that, and so on, *ad infinitum*.[18] To avoid a new problem of infinite regress, Husserl employs the idea of particular fulfillment. If protention, via general fulfillment, constitutes the self-relatedness of absolute consciousness, thereby avoiding the old problem of infinite regress, protention also, via particular fulfillment, constitutes the immanent object, thereby avoiding the new problem of infinite regress.

In particular fulfillment, fulfillment occurs gradually, as reflected in the modes of givenness of the temporal object as they differ according to degrees of fullness. The nearer the object gets to me (physically and temporally), the fuller is the intuition I am able to have of it. The givenness of the object, then, tends toward a culmination (Hua XXXIII, 30) or saturation point (Hua XXXIII, 39) of greatest fullness, which is also the point of minimal evacuation (Hua XXXIII, 30). This point is the primal impression, which functions as the *terminus ad quem* of protentions and the *terminus a quo* of retentions (Hua XXXIII, 38).

The culmination point applies only to what Husserl calls the "domain of intuition." This domain is distinct from the domain of non-intuitive differentiation, which is characterized by a certain empty, non-intuitive potential for differentiating the points of an immanent temporal object.[19] The limit of the intuitive domain is what Husserl calls the zero of intuition (Hua XXXIII, 227). This limit prevents the problem of infinite regress because of the finite nature of intuition: we cannot intuit an infinite number of things. In the domain of non-intuitive differentiation, however, we can theoretically distinguish an infinite number of different points, that is, an infinite number of potential protentions and retentions attaching to every momentary phase of consciousness. This domain

is limited again by the point at which consciousness falls away, a second zero. Here, however, the limit is an open point without differences (Hua XXXIII, 227–8), that is, the point in which there exists, theoretically, an infinite number of points that consciousness cannot practically differentiate (e.g., all the future protentions mentioned above). There is, then, a certain potential infinity in both the protentional and retentional directions. However, this potential infinity does not succumb to the problem of infinite regress because no one, and certainly not Husserl, has claimed that consciousness can retain or protend over an infinite span of time. Indeed, quite the opposite—the period of retention and protention is severely limited, tied, as it is, to the "primal impression."[20] This, I would argue, avoids the problem of infinite regress in its most damaging guise, while still leaving consciousness necessarily open in the direction of protention and retention.[21]

Differentiating Protention and Retention

The difference in direction highlights what has, up to now, been the main (perhaps only) difference between protention and retention: one deals with the future, the other with the past. Even the act of fulfillment, in itself, does not favor protention over retention, as both are necessary for fulfillment to occur (Hua XXXIII, 46).

But it is not accidental that the discussion of fulfillment occurs at the same time as Husserl increases his focus on protention. There is something essentially different about protention that gives it a unique function in fulfillment, and hence a unique function in absolute consciousness and everything this makes possible in phenomenology. What makes protention intrinsically different from retention is the "striving" character of protention (Hua XI, 73). Husserl makes clear that the striving characteristic of protention is a passive directedness, a "passive intentionality" (Hua XI, 76), with which the ego has no active involvement (Hua XI, 86). This "striving" character, Husserl claims, belongs intrinsically to protention, and protention alone: while retention may acquire this striving character, it does not intrinsically possess it. In other words, though we *can* "cast a backward turning glance" toward the past, this is a subsequent act which is distinct from retention, and we must "clearly differentiate between the direction of the egoic regard, and the direction in perception itself that already takes place prior to the apprehending regard" (Hua XI, 74).[22] Indeed, Husserl seems to say that an intentionally-directed retention

ceases to be retention; rather, once "awakened" by a directed consciousness, it "should already be characterized as a remembering" (Hua XI, 80) rather than as a retaining.[23] To be directed toward the past, then, is to be remembering, not retaining. Retention retains the past in a temporality that is in the present, always moving toward the future. Hence, retention is not directed toward the past.

Because it is not directed, then, retention does not bear the same necessary relation to intentionality as does protention. Protention, and protention alone, becomes a necessary aspect of intentionality: without protention, there would be no intentionality.[24] The openness to temporality that goes beyond its own fulfillment which is constitutive of protention is the same directedness beyond immediate fulfillment that characterizes intentionality. In fact, Husserl will say that intentions and expectations "are two sides of one and the same thing" (Ms. L I 16, 5b; as translated in Rodemeyer 2003, 137). The directedness of protention, then, is a necessary aspect of intentionality.[25] It also makes possible the apperception, and hence the constitution, of objects. The movement beyond the (fulfilled) presence at work in protention opens up to me the possibility of other perspectives that are not my own, and enables me to move beyond the merely present to apperceive objects in their combination of presence and absence (Hua XI, 190).[26]

Fulfillment is "a unity of consciousness . . . that carries out a new constitutive accomplishment" (Hua XI, 75), and as such can be characterized as an associative synthesis (Hua XI, 76). Specifically, fulfillment is the unity between the full presentation of confirmation and the empty protentional presentation that makes possible the self-relatedness of the primal stream of absolute consciousness. This associative character obviates the need for a third "synthesizing" consciousness (Hua XI, 77), hence enabling the self-constituting nature that we have earlier seen is necessary for absolute consciousness.[27] This unity is possible because of a distinction in modes of bringing to intuition that marks the second essential difference between protention and retention. In protention, there are two distinct modes of bringing to intuition: the clarifying (picturing) mode, and the confirming (fulfilling) mode (Hua XI, 79–80). The first of these modes seeks to clarify, picture, or pre-figure the intended objective sense: because the "generality of expectation is always relatively determinate or indeterminate" (Hua XI, 79), it is necessary to determine more closely (Hua XI, 80) the field of possibility for the intended and expected object. Protention, then, enables expectation[28] to clarify the intended object (specifically, its objective sense), and in this way it can be considered "disclosive" (Hua XI, 79).

Here, expectation fills some of the emptiness of the intended object so that the intended object can coincide with a confirming-fulfilling intuition in a synthesis. The second mode of bringing to intuition, then, is "the specific fulfillment of intuition" that is the "synthesis with an appropriate perception" (79). Here, "the merely expected object is identified with the actually arriving object, as fulfilling the expectation" (79). Hence, these two modes of bringing to intuition help us see even more clearly how the type of fulfillment necessary for the self-constitution of the absolute stream of consciousness is possible.

Husserl is again adamant, though, that these two modes of bringing to intuition occur only in protention. In retention, the problem is twofold. First, "retentions taking place *originally* . . . remain non-intuitive and sink into the undifferentiated general horizon of forgetfulness . . . Thus, only directed retentions, namely, retentions that have become intentions by such an [associative] awakening are at issue for a synthesis of bringing to intuition" (Hua XI, 80).[29] We have already seen, though, that for Husserl these "awakened" retentions are not, in essence, retentions. And even if we agree to take these modified and "awakened" retentions as the subject of our analysis, "we will realize immediately that the process of bringing to intuition as a clarifying process, and the process of bringing to intuition as a confirming one, are not sharply distinguished here, as is the case with protentions" (80). In the case of retentions, the synthesis that clarifies the sense of the intended object is simultaneously the synthesis that confirms the object as the fulfillment of the clarified intention. Though remembering *can* be a "picturing" or clarifying, "it cannot merely be a picturing; rather it is simultaneously and necessarily self-giving and thus fulfilling-confirming" (Hua XI, 81). This, perhaps, is another way of marking the "essential difference" that Husserl finds between protention and retention already in (marginal additions to) *On the Phenomenology of the Consciousness of Internal Time*: protention "leaves open the way in which what is coming may exist and whether or not the duration of the object may cease and when it may cease," while retention "is bound" (Hua X, 297; see Husserl 1991, 309 note 42). In short, unlike retention, protention can remain essentially open.

We can see, then, that protention is, and must be, distinct from retention. It is *not* merely an inverse retention, but is instead characterized by essential differences that help explain the possibility of the self-constitution of the stream of absolute consciousness. Protention, and protention alone, is necessarily directed (and thereby intentional) and able to bring to intuition both a clarifying and a confirming synthesis (and thereby

make possible the knowledge of fulfillment). Hence, not only is protention essentially different from retention, but protention has a key role to play in phenomenology.

Conclusion: Re-evaluating Retention in Light of a Positive Account of Protention

Fully developing the implications of this positive account of protention for phenomenology is a new task called for by the conclusions of this paper. Though this task outweighs the present project, I would here briefly like to draw out the implications of a positive account of protention for Husserl's account of time-consciousness, and especially for the concept of retention internal to that account. Doing so will help us begin to see the importance that this new account of protention will have in phenomenology.

As discussed in the first and second sections above, Husserl's account of internal time-consciousness is necessary to establish what Husserl will call "absolute consciousness," and hence avoid problems of infinite regress that plagued the earlier accounts of time-consciousness put forward by Meinong and others. Retention was the key to establishing absolute consciousness, as its double-intentionality enabled one act to be simultaneously self-constituting and constitutive of objects. However, our new account of protention gives us reason to question this move. Specifically, it causes us to question to what extent retention can be described as "intentional" at all, let alone doubly-intentional.

The problem arises from the lack of directedness or striving that marks one of the essential differences between retention and protention. If retention is not directed, if it does not strive in the way that protention does, it is then difficult to conceive of how it can be intentional, as an essential aspect of intentionality is its being necessarily directed.[30] Therefore, it is difficult to conceive of how retention can be intentional, a problem that Husserl himself noticed: "retentions, as they arise in their originality, have no intentional character" (Hua XI, 77) though, as discussed earlier, this "does not rule out that in certain circumstances and in their own way they can assume this intentional character later" (Hua XI, 77). But if retentions are not intentional, as Husserl himself says, then surely they cannot be doubly intentional, as Husserl also states.[31] Yet, the double-intentionality of retention was key to establishing the need for, and viability of, Husserl's account of absolute consciousness. Hence, if one denies that (double) intentionality, one seems

to lose the justification for Husserl's discussion of absolute consciousness, and the possibility of transcendental phenomenology itself is called into question.

But this extreme conclusion need not be reached. Rather, a clarification of our terms at this point helps us avoid this damning consequence while at the same time deepening our understanding of internal time-consciousness, in general, and retention, more specifically. This can be done by paying close attention to the "fundamental stratification" of cognitive life (Hua XI, 64). The key distinction at work in this stratification is that between "modal modifications of passive *doxa*, of passive intentions of expectation, their inhibitions passively accruing to them, and the like" (Hua XI, 52), on the one hand, and, on the other, the "spontaneous activity of the ego (the activity of *intellectus agens*) that puts into play the peculiar accomplishments of the ego" (Hua XI, 64), for example in judicative decisions. Husserl is clear that the latter position-taking of the ego presupposes the passive *doxa* of the first level (Hua XI, 53). For our purposes, this stratification enables us to distinguish between conscious acts comprising the active level of the ego, and that which passively constitutes those conscious acts.[32] Retention and protention belong properly in the passive group, and as such cannot be considered acts, properly speaking. Therefore, retention cannot possibly be the act that is doubly-intentional. Rather, retention and protention (that is, internal time-consciousness) make it possible that acts can be doubly-intentional; retention and protention are necessary constitutive factors of the acts of consciousness, which themselves constitute the objects of our experience.

This clarification helps us adequately understand the place of internal time consciousness in Husserl's thought. It also helps us understand that retention—which is not yet an act—cannot possibly be intentional in the standard sense, namely as consciousness of (an object).[33] Rather, it is more accurate to say that conscious acts are able to be intentional because of retention and protention, that is, because of internal time-consciousness. Within internal time-consciousness, it is protention that strives for fulfillment,[34] and hence protention is more easily connected with intentionality, including the double-intentionality that makes possible absolute consciousness. As such, we can now fully appreciate Husserl's suggestion in *Die Bernauer Manuskripte über das Zeitbewusstsein (1917/1918)* that protention might prove to be a more fruitful area of analysis for a phenomenological inquiry into absolute consciousness than is retention (Hua XXXIII, 225–6).

The implications of the above are twofold:

1. *Retention and protention are not something we do*: because they are not acts, but are constitutive of acts, retention and protention are not something that we consciously "do." It is, therefore, difficult, at best, and inaccurate, at worst, to talk of retaining, e.g., a perception of the color red. Rather, we *perceive* the color red, and are able to do so because of protention and retention. What exactly is retained, then, becomes difficult to discuss, as it is all too easy to conflate the retained and the perceived, though, properly speaking, what we can talk of as perceived cannot be that which is retained, as that which is retained is necessary for perception to occur. With this caveat in place, it would seem that *both* the hyletic datum of "red-ness" and the protentional directedness of each impression, directed again both to the object (special fulfillment) and to the different modes of that object's being given to consciousness (general fulfillment), are retained. They are retained, not in the act of retention, but in the act of perception (here, specifically, the perception of something red). This distinction between acts of consciousness and that which constitutes those acts (including internal time-consciousness) must be rigorously maintained.
2. *It is especially, though not exclusively, because of protention that our acts can be doubly-intentional*: this conclusion runs contrary to Husserl's claims that retention is doubly intentional (see Hua X, 380–1). As such, we should not affirm it too quickly. Protention and retention, taken together as internal time-consciousness, enable us to both perceive objects and conceive of ourselves as conscious of objects.[35] Hence, internal time-consciousness enables us to be doubly-intentional in the way necessary for absolute consciousness. However, within internal time-consciousness, we can see that it is protention that strives for fulfillment, both because it is inherently directed and because it differentiates between clarifying and confirming modes of bringing to intuition. Hence, it is protention that is tied more closely to intentionality in general and, by extension, to double-intentionality as well. Of course, this is not to say that retention has no role to play in intentionality, as retention and protention necessarily refer to and employ each other, as discussed above. It is merely to say that protention bears some necessary relationship to intentionality that requires further analysis before any investigation into intentionality—single or double—can be said to be complete.

Given these two implications, it is misleading to speak of retention as doubly-intentional. If one means by this that retention is the doubly-intentional act called for by Husserl to avoid infinite regress and thereby ground absolute consciousness, we see immediately that this runs contrary to the first implication of our analysis of protention which shows that retention and protention are not acts, but are constitutive of acts. On the other hand, if one wants to use the term "act" loosely here, and thereby mean only that retention is that which enables our consciousness to be doubly-intentional (even if it is, properly speaking, other acts that have this doubly-intentional character), we see that this too is not quite correct, as it runs contrary to the second implication of our analysis of protention. In fact, if one wanted to speak loosely and thereby attribute double-intentionality to either retention or protention, we see now that it seems more accurate, if one is forced to choose between the two, to ascribe this doubly-intentional characteristic to protention, rather than retention.

We can see, then, that the positive account of protention discussed in this paper helps us to clarify internal time-consciousness, in general, and retention in particular. I contend that this is but one area of phenomenology in which the positive account of protention would yield new insights. At the very least, as this discussion has already alluded to, the analysis of the different levels of consciousness, and hence the relationship between absolute consciousness and empirical experience, is also affected by this account of protention. The resulting influences of this would be felt in later phenomenological work, and could ripple out to such diverse fields as epistemology (via Husserl's work on logic and experience), ethics (via the work of Levinas), politics (via the work of Derrida) and psychology (via the work of Merleau-Ponty), to name a few. All this follows from the fact that protention is more than just an inverse retention.[36]

Notes

[1] All quotations from Hua X are taken from Husserl 1991.

[2] It is not until the time of Texts n. 50 and 51 (dated by Rudolf Bernet between October of 1908 and Summer of 1909) that Husserl replaces his initial talk of "primary memory" with language of "retention." For simplicity's sake, I have stayed with retention throughout the essay. For more on the change of terminology and how it relates to the development of Husserl's account of time-consciousness in Hua X, see Brough 1972, 314–15.

[3] The instant is what Husserl calls the "now-point": it exists only as the phase of a continuum, and "is conceivable only as the limit of a continuum of retentions, just as every retentional phase is itself conceivable only as a point belonging to such a continuum; and this is true of every now of time-consciousness" (Hua X, 33). Even as a limit, the now is only an "ideal limit" (Hua X, 40). We will see that, as the analysis of protention deepens in the later works, this concept of the "now-point" is de-emphasized.

[4] Though this must be kept distinct from actively anticipating a future event, which would be the intentional act of anticipation, rather than the protentional modification of the intentional act of perception. The same goes for retention, which must be kept distinct from the intentional act of reproducing or recollecting (see Hua X, § 14–19, especially § 19).

[5] That is, a retention (Ec) of the retention (Dc) of C.

[6] William James uses the metaphor of a rainbow before a waterfall to illustrate the flow: while the rainbow remains constant, the material that makes up the rainbow, the individual particles of water that reflect sunlight and hence give off the appearance of the rainbow, are constantly changing, constantly moving, as the water continues to flow; see James 1981, 593. For a more thorough explanation of the relation between Husserl's and James's theories of time-consciousness, see Cobb-Stevens 1998.

[7] This was necessary, according to the prevalent view during Husserl's time. Meinong was the major proponent of this view, which stated that temporally distributed objects can only be presented by temporally undistributed presentations; see Meinong 1978 and Kortooms 2002, 39–43.

[8] In this regard, it is similar to the phantasm of phantasy-consciousness; see Hua XXIV, 260 note 1.

[9] § 24, from which the above quotes from Hua X, 52 were taken, was composed at a later date than most of the rest of the first portion of Hua X. In being written specifically for the compiled edition prepared by Edith Stein, § 24 was written in 1917; see Boehm's note on Hua X, 52; Husserl 1991, 54 note 36.

[10] All translations from this volume are from Kortooms 2002.

[11] One must be careful to distinguish the immanent temporal objects that appear pre-phenomenally in the primal stream of absolute consciousness from the immanent temporal objects of intentional acts. This difference is marked in Husserl by the designation of the former objects as being constituted by a "passive intentionality," vis-à-vis the "active intentionality" of the second level of consciousness (Hua XI, § 18). The issue of the status of what I am here calling the immanent temporal objects has been disputed recently (see Zahavi 1999, 69–75; Zahavi 2000; Zahavi 2004). There is not time to get into this debate here. Those interested in knowing more are invited to consult the cited texts.

[12] "The style of the past becomes projected into the future" (Ms. L I 15, 32b, translated in Mensch 1999, 43, 57 note 7. The "L" Manuscripts form the textual basis of Hua XXXIII. Some of the research on Husserl's concept of protention precedes the publication of Hua XXXIII. For accuracy's sake, I have maintained the reference to the L manuscript when using translations of this material that predate Hua XXXIII. Some later scholars (e.g., Rodemeyer 2003) have persisted in using the L manuscripts rather than Hua XXXIII. Though the reason for their

decision is not explained, I have chosen to again maintain reference to the L Manuscripts rather than Hua XXXIII when using translations from those scholars, in keeping with their own preference for the L manuscripts.

[13] To go back to our above example: if a moment E contains an impression of E, a retention of D, Ed, a secondary retention of C, Ec, and a protention of F, `F, then we must understand each of these moments, and not just `F, as protentional: just as `F protends its givenness in the next instant as F, so too E protends its givenness in the next instant as Fe, Ed protends its givenness as Fd, and Ec as Fc; see Hua XXXIII, 21–2; Kortooms 2002, 160; and Zahavi 1999, 66. Husserl revises his earlier diagram on internal time-consciousness (Hua X, 28) with more complex descriptions of retention in Hua XXXIII, 34–5; these are drawn out in diagram form in Kortooms 2002, 167, 168.

[14] As was the case in the early accounts of internal time consciousness (e.g., when Husserl was still employing the content-apprehension schema; see above), and as would be the case if he maintained the notion of fulfillment introduced in the sixth of the *Logical Investigations*.

[15] That it is able to do away with such talk does not mean that Husserl always consistently does so. The talk of primal impression will remain intermittently throughout the middle and later writings. Lanei Rodemeyer would prefer to replace talk of primal impression with that of "moment of actualization," which she claims is less likely to reify the idea of a "now-point," which has always been an idealized abstraction for Husserl (see Hua X, 40; and above, note 3); see Rodemeyer 2003, 131ff. and 150 note11.

[16] This constitutes an advance, of sorts, on Husserl's earlier claims that retentions retain retentions (Hua X, 81).

[17] The structural openness to the future is present already in Hua X: "But there is an essential difference between protention, which leaves open the way in which what is coming may exist and whether or not the duration of the object may cease and when it may cease, and retention, which is bound" (Husserl's marginal note added to Hua X, 297; Husserl 1991, 309, note 42).

[18] The retention of previous retentions and protentions would also border on infinite. However, the openness of protention marks an essential difference from the necessarily "bound" nature of retention (see note on Hua X, 297, and note 17 above). This will be discussed in greater detail in the fourth section below.

[19] This distinction is called for by the double meaning of retention and protention implied by the striving character that marks fulfillment. This double meaning implies that the same retentional instant can be simultaneously seen as a fulfillment (of the protentional directedness of the previous instant) and as a de-filling (*Entfüllung*; see Hua XXXIII, 30) with regard to the fullness of the object's givenness.

[20] See our earlier discussion of general fulfillment, above.

[21] Kortooms gives a much more in-depth discussion of this new problem of infinite regress and its potential solutions than is needed for this paper in Kortooms 2002, 169–74.

[22] All quotations from this volume are from Husserl 2001b.

[23] This seems to be in line with some of the later texts from Hua X, e.g., Text n. 54 (which is dated no earlier than the end of 1911): "We rather call it the *retention of*

the earlier primal sensation, when it is a question of a consciousness in the original flow of the modifications of sensation; otherwise we call it a *reproduction of the earlier sensation*. We must adhere to this distinction consistently" (Hua X, 377).

[24] For more on the relationship between the directedness of protention and intentionality, see Hua XI, 74–78 and the L Manuscripts (L I 16, 4a); see also Mensch 1999, 45–52 and Rodemeyer 2003, 137–9.

[25] See the following manuscript by Eugen Fink, in his role as Husserl's assistant: "Directedness, tending-to, is the fundamental character of consciousness-of in its most original essential composition" (Eugen-Fink-Archiv B-II 307), which is a (slight) modification of Husserl-Archiv L I 15, 35a. As translated in Bruzina 1993, 369, and 382 note 51.

[26] In terms of the previous section, we here see the "directedness" of protention as bearing on fulfillment in both its general and its particular functions. This "directedness" alone is not enough for apperception, however. A more complete account of apperception would need to augment our current analysis of protention with an analysis of expectation as it occurs in passive syntheses such as association. The relationship between protention and expectation would then need to be explained. For our current purpose of distinguishing protention from retention, however, such an augmentation is not necessary.

[27] Husserl is adamant that retention does not arise on the basis of such an associative awakening that proceeds from the primal impression (Hua XI, 77). Though retentions may be able to acquire the associative awakening that belongs intrinsically to protention, this happens only occasionally, and only subsequently, that is, secondarily—it is not intrinsic to retention (Hua XI, 77). While this may seem to make Husserl's position similar to that of Brentano, whom Husserl critiques in § 3–6 of Hua X (see also Kortooms 2002, 28–38), Husserl clearly claims that his position is distinct from, and does not succumb to the critiques that he himself leveled against, the position of Brentano; see Hua XI, 77ff.

[28] On the distinction between protention and expectation, see Hua XI, 125–9. Briefly, protention is a "synthetically constituted form in which all other possible syntheses must participate" (Hua XI, 125). Association is one of these other possible syntheses. What protention is to internal time-consciousness, expectation is to association and passive constitution: the subject's mode of relating to the future within that specific type of constituting consciousness.

[29] This quote calls to mind again the distinction discussed earlier between the domain of intuition and the domain of non-intuitive differentiation; see Hua XXXIII, 227ff., and the third section above.

[30] See Fink's citation of Husserl in note 25 above.

[31] My thanks to Osborne Wiggins for pointing this inconsistency out to me, and to the participants of the 38th Annual Conference of the International Husserl Circle, whose comments on an earlier draft of this paper were very helpful in developing the conclusions that I am now putting forth.

[32] This "passive" level of constitution can itself be divided into two distinct realms of constitution: the "lawful regularity of immanent genesis that constantly belongs to consciousness in general" (Hua XI, 117), of which association is the prime example; and, the "universal, formal framework . . . in which all other possible syntheses must participate" (Hua XI, 125) that is internal time-consciousness.

[33] There can be no object on the level of passive constitution, as only the categorial object is an object according to Husserl; see Husserl 1948, 81 note 1, and Ryan 1977, 43.

[34] J. N. Mohanty describes intentionality as "a directedness towards a fulfillment"; Mohanty 1972, 124. Given the discussion of protention and its relationship to fulfillment in the fourth section above, this helps us see the inherent connection between protention and intentionality.

[35] For more on the implications of Husserl's account of absolute consciousness for discussion of identity and self-consciousness, see Zahavi 1999; Zahavi 2000; and Zahavi 2003.

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Chapter 8

The Worldhood of the Perceptual Environing World

Adam Konopka

Introduction

In this essay I argue that the environing world (*Umwelt*) makes an essential contribution in the process of perception by providing an unthematic horizon of harmonious associations wherein environing objects and states of affairs come to prominence for and recede from thematic attention. This contribution can be characterized through the notion of horizon provided that: (1) the environing horizon is understood not merely through possibility but a "real actuality" (Hua III/1, 51) of physical objects and states of affairs; and (2) this horizon is not reflectively substantiated in a straightforward presence that loses the unthematic character of the "enworlding" (*Verweltlichung*) function proper to the phenomenon of world.[1] A perceptual environing horizon is a certain kind of horizon characteristic of the total possible perception centered on the lived body and is distinguishable from the external horizon of the noematic object. Whereas an external horizon is centered on the noematic object, the environing horizon is centered on an embodied noesis and contributes habituated associative relations among environing objects. The associative unity given by an environing world is not an identity, but a similarity. The environing world, in other words, contributes a harmonious associative *style* to the perceptual process or to use John Muir's phrase, the way in which we find things "hitched to everything else" (Muir 1911, 211).

Our involvements in our environing worlds occur through various perceptual, practical, axiological, and volitional experiential modes that are originally integrated in ordinary experience to comprise what Husserl occasionally called, following Wilhelm Dilthey, a life-nexus (*Lebenszusammenhang*). By isolating the perceptual structure of the life-nexus of the environmental relation, we are abstracting from the full experiential concreteness of the life-nexus in order to gain clarity and specificity with regard to the

perceptual structure of the environing world. In principle, however, the other modes of the life-nexus have structures parallel to the perceptual and imply it (Hua IV, 10).

For Husserl all perception is accompanied by an environing world, an accompaniment that makes an essential contribution to the constitution of a perceptual object. The significance of this contribution is one that renders an environing world as not merely an accompanying phenomenon, but one that inherently determines the process of perception. While an environing world is a basic feature of perception, it itself is not presented as a thematic object. Perception occurs *by* and *through* an environing world, a world that, strictly speaking, goes tacitly unnoticed in ordinary experience. As Husserl puts it, the accomplishments of an environing world are "hidden" from us (Hua IX, 365).

Clarifying the enworlding function of an environing world allows for a preliminary response to Donn Welton's problematization of Husserl's Cartesian characterization of the world as a totality in *Ideas I*:

> Building on the structural difference between the appearance of consciousness and that of the world, radical Cartesian doubt encompasses the totality of what exists in a single act of exclusion at the same time that it reframes all things as phenomena for consciousness, i.e., it secures the for-structure as a whole. The difficulty is that in principle it is incapable of covering the in-structure, or worse, that it loses the in-structure in the for-structure . . . Husserl has no choice in this work [*Ideas I*] but to treat the world itself as a phenomenon for absolute consciousness, thereby casting it back into being a totality. (Welton 2000, 338)

Welton understands an "in-structure" to refer to our involvements in a given context that conditions the manner of appearance of objects and states of affairs, and a for-structure to imply the determination of significance through recourse to the one for whom the object has meaning (Welton 2000, 22). It was only until Husserl's later theory of the life-world, according to Welton, that Husserl was able to negotiate both these structures without exchanging one with the other. Husserl's earlier account of an environing world from the 1910s and 1920s is interesting for this developmental point because it offers *a thematization of an unthematic totality without sacrificing the in-structure for the for-structure*. By revisiting this early formulation of world-constitution, Husserl's conception of the environing world cannot only be seen as securing the pregiven totality in which we always already find ourselves involved, but as the fundamental basis (*Grundschicht*) of world constitution.

From Internal and External Horizons to Environing World

The fruitful notion of horizon has broad phenomenological applicability, i.e., there are inner and outer horizons, spatial and temporal horizons, intersubjective and cultural horizons, numerical and linguistic horizons, etc. Every experience, moreover, is always already horizonal, making horizons an essential feature of intentionality. A horizon is by definition inclusive of non-genuine or empty intentions that have the potential to become fulfilled or genuinely intended. Husserl characterizes an environing world as a special kind of unthematic horizon, distinguishable from a noematic external horizon.[2] In what sense is this environing horizon different from an external horizon?

"Perceptual experience . . . is a complex of full and empty intentions" (Husserl 1997, 48/Hua XVI, 57). A fulfilled perceptual intention is one in which an object is genuinely given directly in the flesh (Hua XI, 7). An empty intention is one that does not have a full presentational content, but is nevertheless "'co-meant' as co-present" (Hua XI, 4). All perceptual experience occurs from a certain perspective that presents certain profiles or adumbrations of an object. The presented profile is a full or genuine appearance of the object. For instance, when I see a flower it appears from a certain side that is present in a full intention. Simultaneously accompanying this full intention are empty intentions of the non-visible back-sides of the flower and a non-visible interior (Hua XI, 4). When we say, "I see a flower," we are not merely predicating the one side genuinely perceived at the moment, but included in the full sense of the flower are also the non-genuine intentions.

The complex of empty intentions that accompany full intentions are apprehended in inner and outer horizons. An inner or interior horizon pertains to an individual object as it is apprehended through a manifold of momentary appearances. The inner horizon of the flower, for instance, refers to the possible appearances of its backside and interior. Likewise, the inner horizon of a mountain refers to the non-genuine apprehensions of its backside and the possibility of further apprehensions of its various moments, i.e., cliffs, slopes, precipices, and so on. These inner horizons are inherent in the perception of an object, which is to say, the identity of an object (i.e., flower or mountain) is not merely the genuine noematic correlate of a perceptual phase of a side or an aspect of the object, but inclusive of empty intentions as well. Secondly, an outer or external horizon is a reference to other objects and states of affairs that are "co-given" with

the thematic object of focal awareness (Husserl 1973a, 33). The relation between the thematic object and objects in its external horizon present further possibilities that contribute to the apprehension of the thematic object. These horizonal objects are "objects toward which I am not now actually turned but toward which I can turn at any time and which I can anticipate as being different or similar from what I now experience . . ." (Husserl 1973a, 33). For instance, the apprehension of the flower might occur with the backdrop of a garden with other flowers that are more or less similar to it. The garden, in turn, is situated on a city street with various buildings that form parts of the garden's external horizon. The mountain peak is apprehended in the context of the broader mountain range with other mountains that can be co-intended with the peak (Hua XI, 139).

Thus far in the analysis we have been considering the constitution of perceptual horizons proper to the noematic correlate. This horizonal structure is founded on the structure of the complex of empty and full intentions. More generally, these structural constitutions begin with a full intention of an individual object previously identified in one way or another. While all experience is directed to an identified object of thematic attention and a static reflective procedure is capable of isolating a thematic object from its external horizon, the analysis above has nevertheless abstracted from the horizonal features proper to an environing world. The consideration of the perceptual flower and mountain, more specifically, did not take into account the role of the lived body in the perceptual process.

> . . . the isolation in which we have hitherto considered the perceived thing . . . [represents] a certain abstraction in the way we took up perception. We acted in a certain sense as if the object perceived at any time were alone in the world, *nota bene* in the perceived world. But a perceived thing is never there alone by itself; instead, it stands before our eyes in the midst of determinate, intuited environing things. (Hua XVI, 80; Husserl 1997, 66)

The consideration of the perceptual flower and mountain not only began in isolation from environing objects and states of affairs, but it did not take into account the role of the lived body in the perceptual process.

> These things [comprising the external horizon], that are co-perceived, always also include the Ego-Body, which, as a body, is likewise in space, in the space of the total perception. It stands there as the ever-abiding point of reference, to which all spatial relations seemed to be

> attached . . . It therefore occupies a pre-eminent position in the world of perceptually appearing things. Everything that appears is its environment [*Umgebung*], [and] abstraction [is] made from the fact that every thing that is especially perceived and made prominent amid appearing things . . . is possessed in its environment. (Hua XVI, 80; Husserl 1997, 66. Translation modified)

There are three preliminary differences between an external horizon and environing world. First, while the external horizon (and the internal horizon it implies) refers to the noematic object, the environing horizon of the lived body is proper to an embodied noesis. As we will see below, the pre-reflective lived body functions as an absolute here of the environing horizon. The environing horizon centered on the lived body plays a distinctive role in the perceptual process and if left out of an account of perception, an abstraction has occurred.

Second, this abstraction is one that does not take into account the tacit "total perception" of objects that surround the lived body. "But here we must actually go beyond the individual perception and go to the encompassing nexus in general which makes up a unitary consciousness of the environing world and an original consciousness in a universal synthesis of all empty intentions, even of the empty intentions co-determining sense" (Hua XI, 99; Husserl 2001b, 144; see Hua XVI, 81). The "total perception" of the "perceptual nexus" occurs when "no preferential attention" is given to a particular thematic object, but is diffused toward the environing horizon in general (Hua XVI, 81). Rather than fixing attention on the noematic object and its external horizon, the theme of attention becomes the environing horizon itself as it surrounds the embodied perceiver and presents various possibilities for perception. Rather than attending to a particular perceptual possibility and thereby actualizing it as a thematic object, the environing horizon is given through attention that is directed toward the total perceptual nexus as a continuous manifold.

The third difference between the external horizon of the noematic object and the perceptual environs pertains to the differing degree of thematic givenness proper to each. While the noematic object and its horizon are given determinately, i.e., thematic attention can be directed towards the flower with the garden in the background as a thematic field, the total nexus of the environing horizon is given unthematically. Attention directed toward the environing horizon is constantly surpassed by the proliferation of perceptual possibilities. While an indeterminate awareness of these environing possibilities continually accompanies perceptual life, the

full determination of the total perceptual nexus itself exceeds the perceptual capacity of environed perceiver. Intentions directed toward the totality of the environing world, in short, are empty intentions.

The Lived Body as the Absolute Here of the Environing World

While an external horizon is governed by the noematic object, an environing horizon is governed by the lived body. Let us consider this statement in more detail. Husserl characterizes the irreducible placement of the lived body in an environing world as a dynamic "zero-point of orientation," an "ultimate central here" or simply as the "absolute here" (see Hua XVI, 303; Hua IV, 158; Hua XI, 298). The "absolute" character of the lived body's "here" functions as a certain kind of permanent index that relativizes all other positions in relation to itself. Perceptual objects universally and necessarily appear perspectivally in reference to this operative functioning of the lived body. This necessity and universality is so strong that Husserl attributes it not only to all humans and non-human animals but even to "God Almighty" (insofar as perception, or any experience for that matter, is attributable to God) (Hua XVI, 118).

Perceptible things appear "either nearer or farther, above or below, right or left" (Hua IV, 158; Husserl 1989, 166) in reference to the lived body as the zero point of all these orientations, "the 'far' is far from me, from my Body; the 'to the right' refers back to the right side of my Body" (Hua IV, 158; Husserl 1989, 166; see Husserl 1973a, 107). These basic directionalities are, for Husserl, the fundamental orientations upon which the coordinates of objective space are constituted. An environing world is not an objective space if by objective space we mean a homogenous system of separate and univocal locations. Such objectivity is gained only through the reflective annulment of the lived body's absolute here. The placement within an environing world, by contrast, is delimited by the absolute here of the embodied perceiver. As Husserl puts it, "external space (*der Aussenraum*) is homogenous . . . But the lived body and its bodily place break the homogeneity asunder" (Hua XIII, 239). Rather than occupying a location that occurs in a homogeneous spread of idealized coordinates, an environing world is bounded by the zero point of orientation that determines an environing horizon.

Analogous to the momentary "now" that functions as the zero point of the temporal orientations of past and future, so too does the lived body

function as the zero point of spatial orientation (Hua XI, 297). Perceptible things appear as "there" in reference to a permanent "here." The uniqueness of the lived body is the ubiquitous role that it plays in the apprehension of all perceptual objects, "a perceptual object that we call one's own lived-body is distinctive in such a way that with each perception of an object, whatever it may be, the lived-body is always there and always co-constituted" (Hua XI, 298; Husserl 2001b, 584). Inherent in the positional determination of an extended thing as "there" is thus the implicit functioning of the lived body as an absolute "here" (Hua IV, 158).

All perceptual objects are thus determined as a "there" which is inherently determined over and against the lived body. The "there" determination of objects is not fundamentally atomistic or determined according to the spatial dimensions of length, height, or depth. Their most fundamental positional determination is made with reference to the lived body. "To the right of" and "in front of" imply positions of relational association determined with reference to the absolute here of an embodied perceiver. The manifold of "theres" in the perceptual field occurs through the environing horizon centered on the lived body, which is to say, they occupy a position in the perceptual environing world. All perceptual objects, in short, are environing objects. The use of the word "there" in a perceptual context indicates, minimally, a position occurring in a perceptual environing horizon.[3]

The Harmonious Style of an Environing World

An environing world is inhabited as a familiar horizon that appears as a vague and obscure halo of indeterminacy from which environing objects and states of affairs emerge. These appearances do not appear in isolation, but are inherently and passively implicated with each other insofar as they partake in systems of indication. This habituated mutual indication among environing objects produces certain overall styles of relation among these objects in their relation to the lived body.

In contrast to the identity of sense that occurs by considering an individual object, a more general "harmonious synthesis" (Hua XVI, 95; Husserl 1997, 80) is available through a unity *among* objects (Husserl 1981, 244). This more general unity among objects is given through an environing world,

> . . . we continually have an experiencing consciousness in this life, but in connection to this in the widest parameters, an emptily presenting

> consciousness of an environing world—this is the accomplishment of unity out of manifold, multifariously changing intentions, intuitive and non-intuitive intentions that are nonetheless concordant with one another: intentions that in their particularity coalesce to form concrete syntheses again and again. But these complex syntheses cannot remain isolated. All particular syntheses, through which things in perception, in memory, etc., are given, are surrounded by a general milieu of empty intentions being ever newly awakened; and they do not float there in an isolated manner, but rather, are themselves synthetically intertwined with one another. (Hua XI, 101; Husserl 2001b, 145)

An environing world occurs as a manifold of empty and fulfilling intentions that coalesce to form various systems of syntheses that are internally intertwined with each other. As intentions are fulfilled and recede back into un-fulfillment, the process of (un)fulfillment occurs in the context of a horizon that harbors latent associations, even though they are no longer or not yet genuinely apprehended. When an object comes to prominence and affects us, its appearance retains an inherent connection with the other objects sharing a given environing world. Parallel, then, to the referential implications occurring within the inner horizon of an individual object, is a system of indication that points beyond its individual horizon to further objects and their horizons (Hua XI, 5). These indications administer an affective allure on our interest by drawing out our attention to further environing objects. "These indications are at the same time tendencies, indicative tendencies that push us toward the appearances not given" (Hua XI, 6; Husserl 2001b, 42). This "tending toward" the continuation of the empty context of a given object is complex, resulting in a system of indications that, in turn, partakes in broader and broader indicative systems within a given environing world. "The awakened element necessarily awakens its surroundings" (Hua XI, 408; Husserl 2001b, 508). The perceptual harmony of sense—the associative nexus of perceptual horizons—thus produces what Husserl calls "an overall empirical style" to perceptual experience. The "real actuality" (Hua III/1, 1) of environing objects is not atomistically given nor are these objects perceived in isolation from each other.

The Worldhood of an Environing World

We have thus far seen that environing objects and states of affairs are unified according to 1) their reference to the absolute here of the lived body,

and 2) their affective allure in a unified system of indication. While our focal awareness habitually maintains a thematic attention directed towards particular objects and their external horizons, it is also possible to attend to the total environing harmony. How is it that the total environing world of perception announces itself, which is to say, how does the environing harmony of sense gather together as a unified horizon of perceptual horizons?

Husserl's theory of world constitution underwent several elaborations over the course of his career and the clarification of the meaning of the term "world" was a consistent endeavor for him. From his characterization of the world as the open totality of possible experiences of an intersubjective community in *Ideas I* to the life-world as the pre-scientific world of experience underlying scientific theorizing in the Crisis writings, Husserl continually developed various conceptions of world, i.e., environing world (*Umwelt*), home-world (*Heimwelt*), alien-world (*Fremdwelt*), universal-world (*Allwelt*), lived-environing-world (*Lebensumwelt*), life-world (*Lebenswelt*), etc.[4] The remainder of this essay considers Husserl's claims throughout the 1910s and 1920s that an environing world is "the first concept of the world" (Hua-Mat IV, 222) or that it occurs as the fundamental basis (*Grundschicht*) of world constitution.[5] Let us briefly follow Husserl's description.

Ordinary experience is habitually directed toward individually perceived environing objects that come to prominence and recede from thematic attention. As we wander through a botanical garden, for instance, various individual flowers or groups of flowers allure our focal attention as others recede from thematic awareness. As we hike a mountain path, new sections of the trail emerge accompanied by particular trees and rocks that alternatively occupy the visual field. While our focal attention is habitually directed toward and absorbed in environing objects and states of affairs, thematic awareness can also be directed towards the relations among these objects and states of affairs as they occur in systems of indication, i.e., the garden in relation to the city street and one mountain in relation to others in the mountain range. When attention is directed toward the total possible perception of the living present, the possibility for attentive regard constantly surpasses thematic awareness even though the totality is unthematically unified according to the harmony of sense among environing objects and their referential implications. Even though the total perception exceeds the thematic attention of the perceiver, the totality is nevertheless unthematically given as an overall unity of possible perception.

The unity proper to the environing harmony of sense is given by the enworlding (*Verweltlichung*) function of an environing world. The

unthematic total perception of environing objects and states of affairs manifests itself as a unified totality of harmonious association that hangs together, so to speak, due to the enworlding of the environing world. While this function is not reducible to the embodied perceiver nor is it fully thematic in experience, it nevertheless makes an essential contribution to the perception of environing objects and states of affairs as they come to prominence and affect us. The full intentions occur in a context of the indeterminate horizon that harbors latent associations even though they are no longer or not yet genuinely apprehended. They are given in and through a pre-given harmony of sense. This pre-given harmony of sense is accomplished by the worldhood of an environing world, which is to say, the total harmony of sense is unified by the environing world.

Husserl characterizes the enworlding of an environing world as "the bare mobile core of the world" (Hua XXXII, 200) that forms the *Grundschicht* of world constitution. "The world unnoticed in its being-in-itself, in accordance with the sense of this being-in-itself is thereby given as my environing world" (Hua-Mat VI, 224). He similarly states, "that which has already resulted for us in this regard is the first terrain of the reasonable origin of the determination of the concept 'world,' namely, the necessary form of the correlation 'I and my environing world,' and the correlation 'I and my pre-theoretical environing world' " (Hua-Mat IV, 228).

Saying that the fundamental determination of Husserl's understanding of world constitution is an environing world raises a question regarding the relation between an environing world and the world as such. The difference between an environing world and the world as a universal horizon concerns the difference between the empirical overall style of perceptual horizons and the abstract possibility of all experience: ". . . the distinction between an environing world and world in the full sense defines an established a priori structure of world-experience [environing world] and a universal essence of possible experience [world]" (Hua-Mat VI, 200). Husserl's notion of the one world common to all (*Allwelt*) carries with it a universality that is infinite and that applies to the total possible experience throughout the history of various intersubjective communities. This notion of universality, in short, is an abstract universality that is thematized in an act of reflection wherein the world is presented *for* consciousness. This world is not thematized as a *concretum* that consciousness necessarily finds itself *in*. Husserl refers to the totality of an environing world, however, as a concrete universality that characterizes the overall unity of total possible perception (see Hua XXXII, 207). As we have seen, the structure of this concrete universality is an environing horizon of harmonious associations

that universally and necessarily contributes to the overall harmonious style of the process of perception.

Conclusion

We are now in a position to respond to Welton's claim that the conception of the world as a totality implies a privileging of a "for-structure" (wherein the world is presented *for* consciousness) at the expense of an "in-structure" (the world apprehended as that in which we always already find ourselves involved). Husserl attributes the concept of totality to both the world and the environing world and it is by characterizing an environing totality, i.e., total perception, the total kinesthetic system, etc., that he secures the in-structure of world experience. The worldhood of an environing world is tacitly encountered along the road, so to speak, of concrete perceptual involvements that are accompanied by an unthematic horizon of harmonious associations, enworlded as an overall synthesis.

Notes

[1] The first provision addresses Rudolf Bernet's claim that the world is not properly characterized as a horizon because horizons are said of subjects with horizonal intentionality, not the common world towards which we are intersubjectively directed. "Any world . . . must lend itself to being with other subjects. A horizon cannot be shared since it is nothing else than what leads a particular constituting subject from one experiencing process to the next and, correlatively, from one object to another" (Bernet 1990, 8). The second provision addresses Anthony Steinbock's criticism of the tendency to substantialize the worldhood of the world as an object-like presence through the characterization of it as a horizon. "What I take issue with is not Husserl's lucid portrayal of the constitutive features of an objective sense. Rather, it is his tacit assumption that the world can function like an objective sense and thus can be clarified like a thing or object. He does this because he conflates the function of an objective sense with the function of horizon, namely, the process of pointing beyond and guiding perceptions" (Steinbock 1995, 101). By shifting these problematics of world-constitution from world to environing world, the analysis below attempts to show that these criticisms can effectively be assuaged.

[2] In developing the features of the environing horizon, the following brief schematic of horizons is building on Aron Gurwitsch's development of the theory of horizons (Gurwitsch 1964, 1974, and 1985). Gurwitsch's development of the phenomenological theory of horizons, contexts, fields, and margins does not, however, include a systematic treatment of the environing world. "Every perception of a particular thing thus is accompanied and supported by the general

awareness of the world. The perception may even be said to arise out of that awareness. Awareness of the world denotes a phenomenon of conscious life requiring closer examination and more penetrating analysis than can be afforded in the present context" (1964, 406; see also 11). When he returns to the question of the environing world in his later work, Gurwitsch characterizes his account as "incomplete and sketchy both with regard to the descriptive features of this phenomenon and to the phenomenological problems it gives rise to" (1985, 50). He does, nevertheless, provide a brief summary of the practical features of the environing world (1974, 170–7). For further specification of the benefits and limitations of Gurwitsch's account of horizons, see Walton 2003, 1–24 and Steinbock 1995, 172–8.

[3] Jean-Paul Sartre corroborates Husserl's point regarding the body as a center of reference (Sartre 1956, 405–29). Likewise, Maurice Merleau-Ponty contrasts the environing function of the absolute here with objective space, "and indeed its [the lived body's] spatiality is not, like that of external objects or like that of 'spatial sensations,' a *spatiality of position*, but a *spatiality of situation* . . . The word 'here' applied to my body does not refer to a determinate position in relation to other positions or to external co-ordinates, but the laying down of the first co-ordinates, the anchoring of the active body in an object, the situation of the body in the face of its tasks. Bodily space can be distinguished from external space and envelop its parts instead of spreading them out, because it is the darkness needed in the theatre to show up the performance . . ." (Merleau-Ponty 1958, 117).

[4] For the most recent systematic treatment of Husserl's theory of world constitution, see Steinbock 1995.

[5] Husserl's first treatment of an environing world appears to be in the 1907 "Thing Lecture" and throughout the *Ideas* trilogy an environing world is considered the correlate of the pre-theoretical natural attitude and personalistic attitude. The recently published lecture courses on the *Natur/Geist* distinction from 1919 and 1927 provide important clarifications of the relation between an environing world and world in general (Hua XXXII and Hua-Mat IV).

Chapter 9

The Constitutive and Reconstructive Building-up of Horizons

Roberto J. Walton

This chapter attempts to examine how, starting from a primal level in which horizonality is undifferentiated and unformed, the "constitutive building-up [*Aufbau*] of horizons, and finally of objects and worlds of objects" (Hua-Mat VIII, 320) can be shown. In order to disclose "the worldly concept of experience and the worldly concept of consciousness" as "a constitutive outcome," Edmund Husserl elaborates a phenomenological archeology that consists in a "method of unbuilding [*Abbau*]," i.e., in "the excavation of the constitutive buildings concealed in their building links, the buildings of apperceptive sense-performances that present themselves completed for us as an experienced world" (Hua-Mat VIII, 335 note, 107 note, 356). In what follows, I show how building-up, now as a method, follows two different directions, and examine, keeping mainly in view Husserl's late manuscripts on the constitution of time, how it unfolds through levels outlined by the primal grounds of constitution, the differentiation of unities, constitutive acts, and experiencing acts. In this progress from indeterminateness to determinateness, which is close to a feature of Hegel's Philosophy of Subjective Spirit, horizonality appears as an undifferentiated totality, a relief of noticeability, an articulated background, and an ontological style.

Methodological Issues

Because its constitution is now completed, the past is "the realm of the once for all settled being," which, although "never actually experienced in itself," is subject to disclosure, "be it reproductive in the sense of recollection, be it reconstructive and inductive with regard to the . . . experienceable past existence" (Hua-Mat VIII, 395). We can first go backward into our past with the aid of recollections and are confronted, as we go on with this

process, with "a continuous impoverishment" of the world until "we come to a limit" (Hua-Mat VIII, 155). Going beyond this limit entails resorting to the reconstruction of a quasi-world previous to perception. For all our recollections and phantasied modifications of recollections always make available a world. In order to trace out the development of constitution since its beginnings, Husserl advocates a "method of reconstruction," which he characterizes in the following way:

> In the genetic retro-inquiry we construct as a beginning the pre-field and the pre-ego that is still without a world, and is already a center, but not yet a "person," let alone a person in the usual sense of the human person . . . We can in an abstracting consideration . . . examine how a genetic beginning would be constructed, a beginning that at any rate would carry hyle and feeling, but also an ego-pole as pole of affection and action. (Hua-Mat VIII, 352)

Reconstruction or construction means going from a patent being to a latent genetic beginning that cannot be disclosed originally. As this type of latency cannot be turned into a primal or unmodified mode, it has to be built up as an intentional modification of patency, i.e., of present or past experiences. With this method we can deal with stages in which the ego does not distinguish itself from the world. This means, e.g., that, by modifying our actual perception, we can depict a state of sleep without dreams or a state of sleepiness preceding full waking, or, by resorting to analogies with children of which we have an actual experience, we can describe our own life before birth or at the stage of primal childhood with its birth structures (see Hua-Mat VIII, 155ff., 241ff.).

Husserl stresses that consciousness and experiences are characteristic both of the reconstructed stage and of the reconstructing process, but also points out two restrictions. On the side of the terminus ad quem of reconstruction, there are no objects that can be "actually and properly" (Hua-Mat VIII, 395) experienced by myself or other subjects. On the side of the terminus a quo, there is no originary experience, for we cannot know, e.g., how it feels to be an infant. Husserl writes: "There is a reconstruction of what is consciousness, of what in a certain way is experience, of an experiencing subjectivity, which however is not actively experiencing in a way that would render possible an actual communication and a legitimation of being, and this on principle. So for the psychic life of the primal child" (Hua XV, 608). Nevertheless, Husserl goes on immediately to state that non-originality and indeterminateness do not undermine

the possibility of reconstruction of the past: "But it is, and it is evidently, reconstructable (in an only 'vague' determination) and is actually with the being-sense that the reconstruction assigns to it" (Hua XV, 608f.). Husserl refers to the problem of verification in reconstruction: "This leads to the question about the reconstruction and verification of an actual representation of this psychic being" (Hua-Mat VIII, 444). The problem arises in particular conditions because the latent realm to which the intentional modification of patency leads up cannot become patent as the concealed side of an object or an object that does not fall within the perceptual field can. As a consequence of this withdrawal of what is reconstructed, the course of reconstruction is affected by limitations. For a reciprocal confirmation and verification is hindered by the impossibility of establishing an identity between the worlds pertaining to the appearance-systems of a mature normal subject and states of sleep, life before birth, stages of primal childhood, insane subjects, etc.

This type of intentional modification resorts to an analogy that consists in drawing a similarity between the sedimentations that occur in our own experience with the experiences of others such as non-human animals, or between the experiences of others such as babies with my own past experiences. On the first type of analogy, Husserl writes: "A general analogical apperception is nothing but an index for the wholly indeterminate horizon of more precise determinations that must be cleared up gradually descending in the order of the sequence of levels of animality" (Hua-Mat VIII, 175). With regard to the second type of analogy, Husserl speaks of "analogizations, the prototype of which lies for me in the children of the early childish level that I know in my mature world . . ." (Hua XV, 583). Analogy raises the problem of the limit of its possibilities: "Levels of development as to be symbolically reconstructed . . . But where does analogy end? (Hua XV, 173).

As is well known, in his "Layout" for Husserl's System, Eugen Fink sets off building-up-analysis in progressive phenomenology against unbuilding-analysis in regressive phenomenology, and includes the problem of an undifferentiated primal intentionality within the themes to be considered by the former.[1] And in the "Sixth Cartesian Meditation," he contrasts a constructive phenomenology that goes beyond the givenness of transcendental life to a regressive phenomenology that is confined within the bounds of the given. Construction takes on different roles when it corresponds to or matches unbuilding-analysis or when it deals with a non-intuitive dimension.[2] In the first case, it amounts to a reversal of regressive phenomenology, and, in the second, it goes beyond the ultimate outcome of the latter.

Nevertheless, the notion of progressive phenomenology does not depart from the second sense of construction in the fundamental respect that an undifferentiated primal intentionality, which is one of its main themes, is not given. The relationship between these methods needs some consideration because they cannot be kept apart in an account of the development of horizons. As Husserl puts it, "precisely through this regressive destratification (*regressive Abschichtung*) and progressive bringing-into-play (*progressives In-Spiel-Setzen*) of the ontifying activities we build up the constitution of the world . . ." (Hua-Mat VIII, 187). Let us recall another passage from a manuscript in which Husserl raises significant questions:

> How does the regressive procedure of the retro-inquiry lead so far that one obtains the correct beginning for the progressive lines of inquiry? Does it make sense to place nature, and in general a world, already at the beginning, when it is still completely unknown, but already horizonally lying in sense? The more I go back in memory, all the less did I have knowledge of the world, but a spatiotemporal world was always already conscious, already appearing. *How far does the knowledge of the world let itself be unbuilt?* As far as I can meditate retrospectively, I always had already things, always already a surrounding world, always already the known and unknown . . . *Can I come back to an absolutely unknown horizon?* The retro-inquiry leads to the main problem of the formation of the concept "horizon." (Ms B III 9, 69a, emphasis added)[3]

Hence, according to Husserl, the regressive procedure must afford the correct beginning for "progressive lines of inquiry." I take this to mean two building-up procedures that differ according to whether they operate by reversion or continuation, or whether they can or cannot be turned into a primal mode. Only with this differentiation do we account for the fact of being confronted with a limit in the impoverishment of the world and with a latency that cannot be turned into a primal mode.

Unbuilding is characterized by a process of unearthing that is similar to that achieved by archeology, and by a mode of abstraction that is understood as a separation from a concrete whole. Husserl speaks of the "abstractive 'unbuilding' " (Hua-Mat VIII, 402) of cultural predicates in order to attain a pure nature and of the meaning of nature itself in order to disclose a natural hyle in "the level before nature" (Hua-Mat VIII, 111). Building-up follows the paths outlined in this way, but it does so in two different directions. On the one hand, it amounts to a restoration that advances in the opposite direction of unbuilding, and employs the elementary constituents

that have been unearthed as a cornerstone for the reconstruction of what was unbuilt.[4] It sets itself the task of "letting rise up again" (*wieder erstehen zu lassen*) (Hua-Mat VIII, 157, 356) what has been dismantled out of the *archai* provided by deconstruction. This type of building-up is considered in the fourth section of this chapter.

On the other hand, building-up can be understood as an extension in the same direction into further depth dimensions. It is not a reversion but rather a continuation of unbuilding. For Husserl states that the unbuilding of apperceptive functions leads to "ultimate perceptions" (*letzte Perzeptionen*) that have no apperceptive components, and in which "the hyletic fields and data" (Hua-Mat VIII, 134) are given. To go beyond these ultimate perceptions, it is necessary to build up something having no resemblance to any of their ingredients. In this second mode, building-up is tied to a different type of abstraction that does not proceed by separating moments from a concrete whole but rather by the "fusion" (Hua-Mat VIII, 446) into a concrete whole of differentiated elements. As Fink puts it, this construction

> can only draw its *cognitive standing* exclusively from a prior *differentiated* study of given genetic processes, of the demonstrated temporalizations in which a having is built up, etc., in order to be able, then, in an appropriate *motivated* way, to abstract "constructively" from the common presupposition of all given, demonstrable "developments" and genetic procedures. (Fink 1995, 62f.; Hua-Dok II/1, 70)

Hence the transcendental spectator continues the unbuilding process with a building-up method in order to throw light on the transcendental subject's building-up or constitution. As we will see, the outcome of the unbuilding of the pre-given world brings us back to ultimate elements on the basis of which the building-up of the world develops by reversing unbuilding. But the world does not let itself be further unbuilt into differentiated elements. Hence they are also moments of a differentiated study out of which an undifferentiated realm must be built up by advancing in the direction towards which unbuilding points. In this case, the purpose is not to make the constitution of the world clear, but rather to envisage the constitution of a pre-world as it appears before developed perception. This means, e.g., accounting for the constitution of a pre-nature without reading what is acquired later into the earlier. Even if "retrospectively the acquisitions of later horizons (or levels of development) of the world are projected back into the earlier," there is, as Husserl also claims, "an essential cleft" and "a fundamental difference" (Hua-Mat VIII, 242f.) between

experience in primal childhood and maturity.[5] This type of building-up, which Husserl refers to also as a "*method of indirect construction*, yet reconstruction of a realm of unexperienceable constitution" (Hua XXXIX, 480, see 486), is examined in the second section.

I argue that (1) the beginning of the transcendental genesis cannot be attained by unbuilding alone, (2) building-up has an additional purpose beyond filling in blank spaces because it must advance to a level that is previous to the level disclosed by unbuilding, and 3) its task in this purpose is not primarily to attain an adequate characterization of the world, but rather to outline a realm of experience that is previous to the constitution of the world. If the unearthing of "*archai*" (Hua-Mat VIII, 356) is not accomplished by unbuilding alone, building-up cannot be only "the counter-direction (*Gegenrichtung*) of unbuilding" (Lee 1993, 78),[6] but must also advance in the same direction, so to speak, as a complementary movement.

The Building-up of the Pre-world

After these preliminaries let us now turn to an analysis of building-up when it attempts to come back to that absolutely unknown horizon in which "there is no space for a turning toward (*kein Raum für ein Hinwenden*), but rather the ego and its alien-to-the-ego are inseparable . . ." (Hua-Mat VIII, 352). Each life-stream has an ego-pole as a pole of unity that runs through it, whereas the hyle makes up the opposite side of what is other than the ego's own. Thus, the life-stream is two-sided: "Every lived-experience, and now in a more concrete manner a two-sided one, has an ego-side and a non-egoic-side, which is alien to the ego . . ." (Hua-Mat VIII, 189). But at first both sides are still undistinguishable in content, for all their difference in function. In spite of its two-sidedness, the life-stream remains undifferentiated in regard both to the contents of each side and the sides themselves. The two primal presuppositions, sources or grounds of constitution cannot be parted.[7] It is this inseparability that is built up by stressing a falling back into undifferentiation. Here, a continuation back in time must be distinguished from a reversion in order to fill in gaps in what is known or can be perceived. This is the answer to Husserl's question about the possibility of coming back to "an absolutely unknown horizon."

Husserl refers to an instinctive intentionality, the satisfaction of which "is directed to the world" (Hua-Mat VIII, 169), and is "the pre-form of the genuine act," while the drive itself is "the pre-form of a pre-possession"

(Hua-Mat VIII, 326), i.e., an anticipation of the sedimentation characteristic of experiential acts. In this level we have "instinct with an empty horizon" (Hua-Mat VIII, 283) or a "universal horizon of instincts" (Ms E III 9, 3b) in which there is no distinct form nor pre-delineated structure. For the instinctive drive is reflected in primal kinestheses (*Urkinästhese*) directed in an undifferentiated manner to an also undifferentiated primal hyle (*Urhyle*) that fills the whole life-stream. Husserl speaks of "the instinct that has its effect on kinestheses" or "streams out" (Hua-Mat VIII, 328, 272) in them, and considers primal kinestheses in the pre-ego in terms of an intermingling of different partial types of kinestheses. He also refers to "postulated primal affections in the primal hyletic sphere" (Hua-Mat VIII, 350), i.e., affections that must be built-up in the sense of a continuation toward earlier stages of those that can be discerned in higher levels of analysis. For we have "a uniform, aimless 'doing' at one with a non-separated totality of the hyle (*mit einer ungeschiedenen Totalität der Hyle*)" (Hua-Mat VIII, 225). The egoic side of the life-stream must be considered not only in the light of kinestheses but also "as feeling, as mood, as a universal horizonal 'life-feeling' ('*Lebensgefühl*')" (Hua-Mat VIII, 362), which will condition the way in which the ego comes to terms with what is alien to it. Whereas hyletic content is alien to the ego, feeling pertains to the ego. It is a "primal feeling" (*Urgefühl*), a "pre-feeling" (*Vor-Gefühl*) (Hua-Mat VIII, 335, 273) or a "total feeling" (*Gesamtgefühl*) (Ms E III 9, 16 b), i.e., an inarticulate emotion out of which manifold feelings will emerge.

In this first level, in sum, horizonality is characterized by "undifferentiation" (*Unterschiedslosigkeit*), by "the dwindling (*Schwinden*) of the multiplicity of 'prominences' " (Hua-Mat VIII, 99), and must be built up in terms of a continuation beyond the ultimate unities disclosed by unbuilding in order to merge them into indistinction. This means constructing a fusion of kinestheses with a horizonal feeling and a non-separated totality of hyle.[8] To these three ultimate spheres, which have been made into one, must be added a dependence on instinct and a primal temporalization that works through both sides bringing about a temporal horizon, devoid of temporal intentions in a proper sense, through the constant fading away of experience in "a continuous interweaving (*Ineinander*) of modification" (Hua-Mat VIII, 122).[9] Husserl refers to "the primal temporalization in which a hyletic quasi-world, alien to the ego (*eine ichfremde hyletische Quasi-Welt*), has its pre-being (*Vor-sein*)" (Hua-Mat VIII, 350), and, with regard to the other side of the life-stream, to "the ego for which this pre-world (*Vor-Welt*) is, through which or through the functioning of which, in affection and action, the proper world (*die eigentliche Welt*)

comes to creation, in a plurality of levels of creation, to which relative worlds correspond" (Hua-Mat VIII, 350).[10]

Emphasis on a primal undifferentiation can also be found in Hegel's Philosophy of Subjective Spirit. Once it appropriates for itself the surrounding world and thereby sublates the exteriority of nature, the animate organism rises to the pre-egoic level of the soul. The relationship between itself and the external world remains concealed to the soul under the diffuse material of sentience so that the opposition between sentient subject and object sensed is lacking: "The subjectivity of the sentient soul (*die empfindende Seele*) is so immediate, so undeveloped, so minimal in its self-determination and differentiation, that in so far as it *merely* senses, the soul is not yet aware of itself as a subjective confronting an objective being" (Hegel 1978, 159/ *Enzyklopädie* § 400, Addition).[11]

The Outcome of Unbuilding the Pre-given World

In a second level, particular unities emerge from the undifferentiated hyle; first, the particular fields of sense, and then, the particular formations that within them exert a stimulus on the ego: "So regressively we go back step by step to a lowest constitution of unities as pre-being (to the universe of pre-being) . . ." (Hua-Mat VIII, 187). These are experienced in the ultimate *Perzeptionen* with which the process of unbuilding comes to an end. This is Husserl's answer to his question about how far unbuilding can go back.

Husserl states that the beginning of affection is never completely undetermined because there is always an affection by instincts (see Hua XXXIX, 474), and deals with "the problem of instinct as a principle of 'association' of affections" (Hua-Mat VIII, 196 n). The streaming life with its two-sidedness is subject to laws of association and first of all to those of the "primal association in the primal sphere of temporalization" (Hua-Mat VIII, 345). This means that retentional modification, "as a modification of similarity, makes up in a flowing manner a succession of temporalization and in this succession continuously produces, in a process, an identity-unification" (Hua-Mat VIII, 134). This primal association is the presupposition for all other types of association. For unities emerge as a primal mode of affection out of associative processes guided by an instinct of objectivation, and arouse particular kinestheses and feelings that will eventually bring forth the ego's turning to the sensation-hyle (*Empfindungshyle*). This instinct is tied to the standing out of contents and to the conditions of this prominence such as kinesthetic modification, and hence gives rise to a will to

control kinestheses and their consequences, i.e., an increase in the fullness or wealth of contents. In addition, there is presupposed a motivation by feeling-affections (*Gefühlsaffektionen*) of pleasure in contrast to negative feelings of aversion that can block the objectivation.[12]

Thus, we have affection of intentional unities on the side of what is alien to the ego along with will and feeling on the side of the ego. All the ultimate constituents of a still undifferentiated experience in the previous level appear again in a differentiated manner. These three moments are particularizations of the undifferentiated whole of experience, which was built up beyond them—in the sense of a continuation—and lay out the fundamentals for the building-up of the world—in the sense of a reversion—but are not yet moments of a "consciousness of" (Hua-Mat VIII, 335). The first distinguishing feature of the heritage handed down by the primal initial horizon is that the primal undifferentiation of hyle, kinestheses and feeling leads to a close relationship between these factors when they begin to differentiate themselves.

Important for horizonality in this level is the development of a "horizon of affection" (Hua-Mat VIII, 240) or a field of consciousness with a relief of noticeability that is preserved in the further levels and goes hand in hand with the constitution of intentional unities that are still non-objects. This amounts to an incipient distinction between foreground and background. Husserl observes: "In the constitutive medium, so to speak, of the immanent constitution of properly so-called things we have thus always '*prominence*'—in the sense of *foreground* and *background*, of prominent constituted unities over against, in its turn, a coprominent background, be it noticed or not" (Hua XXXIX, 469). What first affects us is the hyletic present, and secondly we have "the affection out of the horizons" (Hua-Mat VIII, 94). Once there is affection, there are also "modifications into the empty modes" (Hua-Mat VIII, 337) and a horizon of retentions and protentions can become more explicit.[13] There are degrees in the obtrusiveness of hyletic unities within a background with a varying degree of affecting moments. Prominence or outstandingness (*Abgehobenheit*) of hyletic unities in the sensuous field is the presupposition of a true affection as a call (*Anruf*) or interpellation (*Anspruch*) aiming at an act of the ego as an answer. Husserl deals with the conflict of affections with each other because the affecting moments can drown each other down in a competition in which the relegated unities loose their stimulating power, fall out of the horizon of affection, and do not motivate the ego to turn toward them.[14] Thus, a relief-horizonality, articulated according to degrees of obtrusiveness, is superimposed on undifferentiation.

But the heritage handed down does not vanish because it appears in the subsequent strata under the figure of a total zero of affection. Husserl speaks of a fusion into "a total zero affection" (Hua-Mat VIII, 192), which is what is left of undifferentiation in the previous level. We can recall here Husserl's references to "the tendency which precedes the cogito" (Husserl 1973a, 78; Husserl 1948, 81), i.e., the tendency as stimulus of the intentional background experience and the tendency to give way on the side of the ego, as well as the distinction between "actual affection" and "tendency to affection," and the reference to "a background or underground of nonaliveness" (*ein Hintergrund oder Untergrund von Unlebendigkeit*), of lack of affecting effect (null)" (Hua XI, 149, 168).

Just as Husserl, so does Hegel assert that "while sensation (*Empfindung*) puts more emphasis upon the passive aspect of finding (*Finden*) . . . feeling (*Gefühl*) refers more to the selfhood involved there" (Hegel 1978, 203/*Enzyklopädie* § 402). Along with the view that the soul emerges from nature as a higher form of organization subject to the conditions imposed by the lower phases,[15] Hegel claims that the soul virtually contains the objective world that is to be brought into being in the higher stage of consciousness. It does not by itself amount to consciousness because it is no more than the first stage of spirit in which the affections originated in the natural environment are not yet determined as the disclosure of an external world.

The Building-up of the World

Constitutive acts emerge when the ego answers to the stimulation of hyletic unities with an activity directed to them. Husserl points to "a two-sidedness (*Zweiseitigkeit*) in the (awaken) life-stream, which is overlaid, is founded on the two-sidedness (*Zweiseitigkeit*) that lies already in the constitution of the pre-ontical . . ." (Hua-Mat VIII, 188). In contrast to the inseparability of the two primal grounds, ontic two-sidedness and separability can be built up out of the elements provided by pre-ontic two-sidedness. As regards the new subjective side, we have the ego as a center of intentionality along with a streaming life with its further "two-sidedness" (*Doppelseitigkeit*) (Hua-Mat VIII, 189) of affections and actions. Husserl can now refer to acts as the properly so-called ego's "consciousness of" or "being-directed-to" and to "the data of sensation with their moments of feeling, also the drive moments, all in the manner of the most inner temporal" (Hua-Mat VIII, 112). Once again we see that hyle, feeling, and kinestheses are playing higher roles or receiving new functional structures (see Ms B III 9, 79 b).[16]

As hyletic unities develop into objects, kinestheses depend on an "I do," i.e., they "have the character of an *active, subjective process*" because they are set in motion with the aim of motivating the perception of particular profiles of the object. My relationship to objects becomes "productive" because the coming-into-view of appearances is "'in my power'" (Husserl 1973a, 84; 1948, 89). Furthermore, feelings develop into clearly marked-off emotions of pleasure and displeasure with respect to objects. It is through these feelings that hyletic data, by attraction or repulsion, can motivate the ego to willing (*Hin-Wollen*) or reluctance (*Wider-Wollen*). Objectivation must take place in a normal situation in which pleasure prevails over displeasure: "Here the Aristotelian assertion 'All human beings by nature have delight in *aisthesis*' obtains its truth" (Hua-Mat VIII, 321).

Objects of full-fledged acts are constituted against a threefold background or horizon. Beyond the theme to which the ego is directed, there is a first background composed by what is not observed thematically but nevertheless is noticeable because it still partakes of the horizon of affection. A second background is made up by the unconscious that has no affecting capacity because it amounts to a total nullity. A whole of null-affections and null-implications is blended into "a background of the 'unconscious,' of what does not speak according to all its 'components' but also as a whole, of a night that is silent, that exercises no call, and contains no call in itself" (Hua-Mat VIII, 192). Along with the outer null-horizon, there is the inner null-horizon made up by what is implicit in the theme. Finally, Husserl refers to a third type of background in order to account for something different from the theme that concerns the ego in a secondary manner. Husserl summarizes his analysis in the following way: "Different concepts of background: 1) the absolutely unconscious, the absolute zero; 2) the 'unnoticed,' although 'notable,' affecting, but not reaching through with its voice; 3) that with which the ego has to do, not primarily, but rather only 'still' to do" (Hua-Mat VIII, 184).

The ego begins to play a role in the articulation of horizonality by giving rise to a theme, which goes hand in hand with the origination of a background, and by holding its acts still in the grasp, which also brings forth a background "to which the ego turns" (*dem sich das Ich zuwendet*) (Hua-Mat VIII, 192), just as it turns to the theme. This means that in perceiving an enduring object, we are directed not only toward the momentary present appearance, but toward the object as a unity of appearances. Husserl claims that each new perceptive activity turned to the object makes up a flowing unity of activity with "the modified activity of the still-in-grasp (*das Noch-im-Griff*)" and "the anticipating foregrasp (*Vorgriff*)" (Husserl 1973a,

107f.; 1940, 118). So the ego accomplishes a temporalization apart from the concomitant temporalization of its lived experiences:

> The ego "itself" in its continuous action is a maintaining ego [*behaltendes Ich*], it has in itself then a mode of temporalization. It does not let the starting mode simply run off, but rather "persistently" holds still in grasp what it brings into the primal grasp [*Urgriff*], just as, on the other hand, it seizes something new that is continuously modified. The "still in grasp" itself modifies itself, it means egoic modes of accomplishment as a stream of modification. (Hua-Mat VIII, 198)

Hence Husserl can refer to "a double retention, the one that constitutes the material time [*die sachliche Zeit*] and the egoic retention [*die ichliche Retention*] of 'validity,' retentional modification of the accomplishment [V*ollzug*], which in the now is in its manner precisely accomplishment" (Hua-Mat VIII, 201). Egoic retention plays a decisive role in the constitution of this third domain because it involves the ego in a more active way in the preservation of what has occurred before actual affection and action. Thus, the two distinctive traits of this new level of horizonality are that it depends on the ego's turning toward, letting-go, and holding-in-the grasp, and that it entails a distinct sphere of emptiness. From here onwards the ego-side of the life-stream plays a role in the structuration of horizonality.

Along with the background outlined by the primal grasp, the still-in-grasp and the foregrasp, which springs from the activity of the ego, two other modes of background show the persistence of the "relief of noticeability" (*Merklichkeitsrelief*) (Hua XI, 167) pertaining to the previous level. A horizon of the unconscious is the outcome of a gradual decreasing of affection that leads to a limit-case in which affection amounts to a null stimulating force. Against this background of null affection there emerges "the second background of what is unnoticed, although notable [*Hintergrund des Unbeachteten, obschon Merklichen*], of what is prominent, but does not get through with its voice" (Hua-Mat VIII, 192).

A further level is that of experiencing acts. Constitutive acts give rise to determinate apperceptions enclosed within a universal world-apperception that now appears as a horizon of acquaintedness in contrast to the indeterminateness of the world-horizon in the previous stage. With reference to the "building-up of the full-world," Husserl has the following to say:

> Higher-level objects have a) a stratum that is based on the affecting stimulus-field and the affecting performances of the lowest level determined

> by it, and b) a stratum out of the field of affection, that of the higher-level affections; and accordingly they have a double constitutive building-up out of constitutive acts as against the acts of experiencing actualization of the lower-level apperceptions, acts in which the "finished" objectivity is experienced and "intended" in empty modes of experience. (Hua-Mat VIII, 336)

In this passage several points are made. First, lower-level affections belong to a primary sensibility that stands in connection with the fields of sense. Second, lower-level apperceptions are those in which sense-bestowing is carried out for the first time. Third, higher-level affections are a new name for secondary sensibility, i.e., the affection by sedimented constituting acts. They make up a world-possession that rules our world-experience, and their correlate is the world as a "ground" (Hua-Mat VIII, 264): ". . . every constitution has now only the possibility of an enlargement in the determined pre-delineation and of new formations in a fully built horizon-style or ontological style" (Hua-Mat VIII, 241). Fourth, higher level-objects amount to objects that have been previously constituted and make up our acquaintedness with a present surrounding world. Experience of these higher-level objects does not constitute them because it only entails an anticipation that requires a fulfillment: "The final world-level is that in which the world has an open infinite horizon and being-sense, which has everything that has to be shaped in a particular case already pre-delineated in this horizon, in this sense-form" (Hua-Mat VIII, 239).[17]

Thus, new modes of horizonality are superimposed on the background without setting aside its three modes that remain enclosed within the new acquisitions. The egoic temporalization, which in the previous level was limited to the holding-in-grasp of the appearances of an object, is extended to the preservation of the objects themselves through the constitution of types within a totality of typification. The horizon of null-affection, which is the heritage of the primal initial horizon, and the horizon of unnoticed affection, which is the heritage of the subsequent horizon of noticeability, run through both non-acquaintedness and non-actualized acquaintedness. A "secondary passivity" (Hua-Mat VIII, 70) with higher-level affections has come to the fore, and there is no new role or functional organization for the threefold structure of hyle, feeling, and kinestheses.

In the constitutive building-up of horizons, the present stage of separated sides in the life-stream with a world-wide correlation between them follows the stages of undifferentiation both between the sides and within them, of inceptive differentiation, and of separate sides with correlations

between singular moments alone. As regards emptiness in the structure of horizonality, it is the stage of "horizons of empty intentions" that have emerged out of "empty horizons" (Hua XIV, 334) through levels whose distinctive character is the development of a null and void background. Subjective freedom, which begins to emerge with the institution of a foreground and of the dimension of the still-holding-in-grasp within the background in the previous level, is consolidated with the holding-in-grasp of objects themselves rather than their appearances, i.e., with the institution of a style of experience pertaining to the ego.

If we now turn again to Hegel, we see that, in order to rise to consciousness, the soul must undergo a separation into the two sides of subject and object, and so it presupposes a self-differentiating ego that distinguishes itself from itself and sets over against itself a world: ". . . the ego excludes from itself the natural totality of its determinations as *an object or world external to it* . . ." (Hegel 1978, 425; *Enzyklopädie* § 412). Furthermore, the distinction between the strata of lower-level and higher-level affections is drawn in terms of chance sensation and a general manner of acting: "Mere sensation is a matter of chance, I am affected first by this and then by that . . . In habit on the contrary, man relates not to a *single, chance* sensation, presentation, desire, etc., but *to himself*, to a *general manner* of acting which he himself has posited and which has become his *own*, and through which he therefore displays his *freedom*" (Hegel 1978, 401; *Enzyklopädie* § 410 Add.).

The Constitutive Order of Horizons

Husserl attempts a systematic account of horizons in order to show a sequence of levels because "the horizon has in itself horizons, a certain gradation [*Abstufung*] of relative immediacy and mediation" (Hua XXXIX, 361). He also speaks of "an integral horizon that covers synthetically all singular horizons" (Hua XV, 345), and of "modes in the universal horizonality [*Modi in der universalen Horizonthaftigkeit*], but particular modes, horizonal in a particular way" (Hua-Mat VIII, 249), and stresses a series of distinctive features that can be shown with regard to this articulation: "The horizons have a constitutive order, a foundation; in each level an optimum belonging to it and its typicality in the backward reference to the optimum; and also a typicality in the modification of the corresponding optima themselves, whereby a higher-level optimum constitutes itself" (Ms D 11, 2a). Furthermore, he refers to separations and convergences: "These horizons can be disjunct, but they can also overlap [*sich überschneiden*]. They are

situated as a whole in a total horizon" (Ms B II 13, 19a). Thus we see that Husserl's concept of horizonality entails: (a) an optimum in each level; (b) types of backward reference to the optimum; (c) types of modification derived from it; (d) the constitution of a higher-level optimum; and (e) disjunction and overlapping. Let us now show these traits in each of the levels Husserl distinguishes.

In the primal level of undifferentiation, the optimum is the thorough fusion of the fundamental factors that make up the threefold structure of primal hyle. Because this primal undifferentiated horizon is the ultimate level of experience that has been constructed, no backward reference of further moments of experience to the optimum can be shown. On the other hand, the modification of the optimum entails a process of differentiation leading progressively to the constitution of a new optimum in the second level of primal differentiation.

When a horizon of affection emerges with its incipient distinction between foreground and background, the new optimum is tied to the lowest constitution of unities as pre-being, i.e., the constitution of hyletic fields and data on the non-egoic side and of distinct feelings and kinestheses on the egoic side. Backward references to the optimum can be traced along the gradual loss of obtrusiveness as the unities recede into a lack of affecting force, and modifications in the optimum open up a path toward act-intentionalities.

With these modifications, affection becomes "noetically a mode of constitutive intentionality and noematically a mode of the intentional unity or rather of the object, which eventually is conscious as existent in a mode-of-being" (Hua-Mat VIII, 193). Thus, the optimum is the constitution of an object over against a threefold background. Backward references to the optimum pertain to our memory of previously perceived objects, and modifications in the optimum have to do with the stabilization of objects by virtue of the reiteration of experiences.

Both the object and the background undergo modifications leading to a new level in which objectivity is no longer considered with regard to singular examples but as a stratum of higher-level objects or types of objects. The optimum is now a fully built horizon-style. Backward references to it concern the loss of typical structures, and intentional modifications appear when intersubjectivity is brought into play: "If we step over from transcendental egology into transcendental sociology, or from the ego abstractly and solipsistically conceived to the human community and its world, then the existing world, which now takes on an intersubjective being-sense, enlarges itself for me as ego (and then for every ego) in a new

way" (Hua-Mat VIII, 165). As the putting into action of the ego brings forth new modes of horizonality, so does the coming into play of intersubjectivity—and hence of a non-egological analysis—introduce new levels in the "order of the constitutive building-up" (Hua-Mat VIII, 337).[18]

As regards the overlapping of horizons, it has been shown that horizonality develops through stages in which new modes are superimposed on previous levels. Thus a primal initial horizon gives way to a horizon of affection in which it is preserved as the domain of zero affection. Then, a threefold background maintains this heritage in the modes of unconsciousness and a horizon of noticeability. Finally, in the fourth level, this heritage runs through both non-acquaintedness and non-actualized acquaintedness as a horizon of empty intentions. On the other hand, a clear example of the disjunction of horizons is afforded, because there is no possible overlapping between them, by the background outlined by the still-holding-in-grasp, the background of null affection, and the background of what is unnoticed but is notable.

Two further aspects of the constitutive order of horizons should still be mentioned, even if this reference has to be cursory. First, as we have seen, Husserl claims that horizons have a "foundation." This raises the problem of the relationship between genetic building-up and the "building-up of validity-foundation [*Aufbau der Geltungsfundierung*]" (Hua XV, 616). Husserl stresses a correspondence between both modes, but also points to differences:

> For every unbuilding-reduction [*Abbau-Reduktion*], the principle is valid that the strata disclosed by unbuilding are not constituted separately [*für sich*] in the genesis, in a genetic succession that corresponds to the foundation-succession. Certainly, to each stratum there corresponds a stratum in the genesis; every intentionality through which the pregiven world is constituted, is genetically acquired and is conceived in the genetic continuous development. But all geneses of all strata operate immanently and temporally together, they are coexistent geneses. (Hua-Mat VIII, 394)

Whereas foundational analysis deals with strata in a constitution that has been completed and can examine them separately, genetic analysis must deal with a succession in which each stage foreshadows the development to which it is headed. On the one hand, we have static relations in which the founding levels can be considered in themselves as finished formations without taking into account what is founded on them. This is true even if

their validity is not the final one. On the founding-performances in this sequence of levels, Husserl writes: "Each one has its meaning and being-validity, but in this nexus of founding they do not have the mode of final validity but precisely the mode of contributing to foundation, immediately for the next higher level, mediately for the higher levels" (Hua-Mat VIII, 5). With reference to the foundation-succession, Husserl claims that a core of bare nature can be kept apart from the predicates of objective spirit. On the other hand, the strata cannot be considered in themselves because the focus is on processes rather than results. As regards the genetic succession, Husserl distinguishes moments in a continuous development. An interplay of primal hyle and primal ego prefigures hyletic unities and a center of affections, which in turn anticipate constituted objects and a center of acts. And the latter in turn indicate beforehand an articulated world and a substrate of habitualities. Hence Husserl can refer to a coexistence of geneses.

The second point is that, along with "the primality [*Urtümlichkeit*] reconstructed through the uncovering of the genesis," Husserl speaks of "the primality of myself . . . the mature man that meditates on myself" (Hua-Mat VIII, 279; see Taguchi 2006, 116ff.). This raises the question as to the differences and analogies between the ways in which both modes of retro-inquiry proceed in the disclosure of primality.

Notes

[1] Fink writes: "Phenomenology of primal intentionality. (Phenomenology of 'instincts'). a) The still undifferentiated primal intentionality: the succeeding constitution of being as good. Formation of the play-spaces for kinestheses. The intentional purpose of the primal drive, the problem of the 'unconscious.' b) Phenomenology of primal association: the pre-ontic formations of unity of the hyletic fields. Phenomena of fusion and particularization in the primal passive sphere" (Fink 1988, 8).

[2] Sebastian Luft observes that "the progressive analysis, although it has a 'constructive character,' is not to be confused with the constructive phenomenology of the VI. Meditation" (Luft 2002, 186).

[3] "Wie führt das regressive Verfahren der Rückfrage soweit, dass man den rechten Anfang für die progressiven Fragestellungen gewinnt? Hat es einen Sinn, an den 'Anfang' schon die nur noch ganz unbekannte, aber schon horizonthaft im Sinne liegenden Natur und überhaupt Welt zu setzen? Je weiter ich in Erinnerung zurückgehe, umso weniger Weltkenntnis hatte ich, aber raumzeitliche Welt war immer schon bewusst, schon erscheinend. Wie weit lässt sich da Weltkenntnis abbauen? Soweit ich mich zurückbesinnen kann, hatte ich immer schon Dinge, immer schon Umwelt, immer schon Bekanntes und Unbekanntes . . . Kann ich zurückkommen auf einen absolut unbekannten Horizont? Die

Rückfrage führt auf das Hauptproblem der Begriffsbildung 'Horizont' . . ." I wish to thank Rudolf Bernet (Husserl Archives in Leuven) for permission to quote from Husserl's unpublished writings.

[4] Nam-In-Lee holds that building-up is "a process of restoration of the genetic constitution of the world out of the *archai*, which so to say have been unearthed by the unbuilding." So the task is "to restore out of these primal elements the building-up of the constitution of the world" (Lee 1993, 78, 127).

[5] To quote Brand Blanshard, who follows the Hegelian tradition of starting from an undifferentiated feeling as the ground for the emergence of experiential units: "We must avoid reading acquired meanings into the experiences we start with . . . We must so construe the world we first live in as to make escape from it conceivable" (Blanshard 1969, 56f.).

[6] Lee also contends that the unbuilding-analysis "can be further accomplished until we come across a correlation between ego and world that does not admit any further unbuilding, and shows itself as the *primal presupposition of any world-constitution*, as the *beginning* of the transcendental genesis." Hence he attempts to "fill in then, in the building-up analysis, the gaps that arise from the direct advance to the beginning of transcendental genesis" (Lee 1993, 155). His point is made clear as follows: "By this building-up analysis alone is opened the possibility of attempting an adequate essential determination of the world" (Lee 1993, 128).

[7] As Husserl puts it, "The constitution of beings of different levels, of worlds, of times, has two primal presuppositions, two primal sources (*Urquellen*) that . . . always 'underlie' it: 1) my primal ego as operating, as primal ego in its affections and actions, with all its essential formations in accompanying modes, 2) my primal nonego, as a primal stream of temporalization and itself as a primal form of temporalization, constituting a time-field, that of primal materiality. But both primal grounds (*Urgründe*) are united, inseparable (*untrennbar*) and so abstract when considered by themselves" (Hua-Mat VIII, 199).

[8] Ronald Bruzina holds that progression "has to be thought of not in terms of a sequence of new themes but as the transformation of the way certain themes of utter fundamentality, 'proto'-themes, are to be approached, recast, and treated . . . The effort now becomes understanding the coming-about of . . . *fundamental structuring factors*." (Bruzina 2004, 415)

[9] Elsewhere Husserl speaks of "the primal initial horizon, in which the human world-horizon is implicitly born, just as, in the primal beginning of temporalization, the horizon of temporalization is already implicit as a temporalization in which over and over again a new temporalization lies implicit . . ." (Hua XV, 604).

[10] Hence stages of development that are reflected in the correlative constitution of the world: "So the world itself has a childhood and grows up to a mature world, [. . .]" (Hua-Mat VIII, 74).

[11] For an attempt to connect phenomenological and Hegelian themes in the analysis of perception, but mainly with reference to Maurice Merleau-Ponty, see Harris 1970, Chapter VIII.

[12] Husserl raises "the question about the originary instinct that has the natural objectivation as correlate, and the question how the primal hyletic feeling-affections, when they in the same way are now pleasure-affections now aversion-affections, should motivate objectivation" (Hua-Mat VIII, 321). An

"instinctive drive of objectivation—nature" (Hua-Mat VIII, 331) brings as a result the constitution of a "unique world," of which "a natural core" is the "primal" or "ontological core" (Hua-Mat VIII, 336, 357). The "guidance of primal instincts" leads to the "primal constitutive building-up of the world in its being-regions" (Hua-Mat VIII, 318 note), and Husserl's answer to the question whether nature is to be placed at the beginning is that sensation-hyle is the basis for a "natural hyle" as a pre-nature through which the sense "nature" is constituted (Hua-Mat VIII, 111), i.e., the primal objectivation of which "results in nature" (Hua-Mat VIII, 321).

[13] At this stage intentional modification arises from an experienced primal mode instead of going back, as in the building-up of a pre-world, to a non-experienced primal mode.

[14] Husserl also draws a distinction between what stands out or is prominent and what affects: "We would say that not all standing out (*Abhebung*) is affecting" (Hua-Mat VIII, 189). See Kortooms 2002, 161, 287f.

[15] With reference to the above-mentioned two primal sources of constitution, Dan Zahavi contends that subjectivity is a necessary but not a sufficient condition for constitution. Both the nonegoic world and subjectivity are interlaced transcendental constituents that cannot be understood separately. See Zahavi, 2002, 13.

[16] As regards the objective side, constituting acts give rise to a primordial nature and an intersubjective common nature as the condition for objective spirit because it renders possible the expression of spirituality. "This does not mean that, so to say, in a historical sequence first bare nature is there with the physical living bodies, purely as physical bodies, and then for the first time action begins and a spiritual world originating from praxis comes to be. But it is implied that in all that is constituted in the world there is embedded in advance a core of bare nature that can always emerge by an abstractive 'unbuilding' of all predicates of the objective spirit" (Hua-Mat VIII, 402).

[17] In order to determine more precisely "the world-possession of a horizonality, whose mobility and sense is the great problem" (Hua-Mat VIII, 254), Husserl draws a distinction with regard to habituality. On the one hand, there are habitualities directed to what already exists because they have been acquired and have become "settled interests" (*erledigte Interessen*) that amount to a permanent possession. On the other hand, there are habitualities that sustain the ends that guide our action, i.e., "genuine interests, those of the enduring plans, of the ends and systems of ends, vital ends, and of the particular possessions referred to them as means that are available to be used as one wishes, with the preferential awakenings, and of the living systems of ends, of the plans that guide personality" (Hua-Mat VIII, 75). Husserl holds that the two sides of habituality are reflected in the articulation of horizons in a passage that stresses the distinction between a world set forth as something to be attained and the acquired world: "The concept of horizon also splits up. Horizon of the situation, a vital interest is stirred up, on which the momentary activities are supported, stirred up in another way is the whole world-horizon, insofar as the world is always there" (Hua-Mat VIII, 75).

[18] First, at the level of primal history, Husserl refers to "a surrounding world as homeworld" (Hua-Mat VIII, 409), to "the finite ego in the concatenation of its generation . . . the primal tradition of procreation" (Hua-Mat VIII, 437), and to

"the unity of the common earth, of the total territorium on which all men live, into which its cultural territories fit" (Hua-Mat VIII, 215). Second, in "the horizon of history and its traditions" (Hua-Mat VIII, 370), the "surrounding lifeworld" (Hua-Mat VIII, 261) is "the field of a communicative praxis" for a "communicative humankind" (Hua-Mat VIII, 398, 401) in the "synthesis of homeworlds" (Hua-Mat VIII, 409), and hence becomes the "acquisition of the transcendentally and intersubjectively effectively functioning pasts" (Hua-Mat VIII, 391). Husserl describes this development as follows: "If a human being has already a horizon of humankind in historical development . . . the world-horizon receives a new predelineation of sense" (Hua-Mat VIII, 242). Third, in rational historicity, worldliness is understood as "the idea of a world true in itself" (Hua-Mat VIII, 410) in contrast to the manifold surrounding worlds: "The real being [*das wirkliche Sein*] is an a priori norm, an idea, to which I approximate actively and freely . . ." (Hua-Mat VIII, 91).

Chapter 10

The Photographic Attitude: Barthes for Phenomenologists

Christian Lotz

Roland Barthes' essay *Camera Lucida: Reflections on Photography* is probably the most famous essay written on photography after WWII. Barthes' essay is usually taken as a theory of realism, especially since Barthes claims that a photograph is "somehow co-natural with its referent" (Barthes 1982, 76). This thesis, however, as I intend to show in this chapter, is misunderstood if we understand it to imply a simple form of causal realism; for almost all major commentators overlook that Barthes' essay is written in a phenomenological spirit. In this chapter, I intend to correct the aforementioned view of Barthes' position as a simple causal realism by arguing that the relation between photograph and referent should instead be understood as a relation between the *looking subject* and the referent, which will lead to a non-naturalist thesis about the relation between photography and referent. I shall first demonstrate that Barthes' essay is primarily not about photography taken as an object; rather, Barthes tries to describe the *experience of photograph*, which comprises both the noetic *and* the noematic part of what I will call the *photographic attitude*. The photographic attitude is the *consciousness of* photographs. I, finally, argue that a phenomenological theory remains ultimately unsatisfactory because the mentalist underpinnings of this approach to photography do not permit us to understand photographs as a medium.

Introduction

One of the most discussed and most celebrated essays on photography after WWII is Roland Barthes' *Camera Lucida*. The text appeared in 1982 and has been taken ever since as the introduction of a strong "realist" position in photographic theory, which is to say, a theory that claims that photography is ruled by its relation to the referent. This characterization is

given because Barthes' ideas about the temporal character of photographs as a "have-been," and the "indexicality" of photographic images contribute to his claim that the photograph is "somehow co-natural with its referent" (Barthes 1982, 76). Barthes' beautiful and masterful essay not only has been admired for its revelatory force, but it also has been under attack ever since, mainly by theorists who claim that the priority of the photographic referent is itself a historical, technological, and cultural construction.

Two aspects of this debate are astonishing: (1) almost none of the commentators has paid much attention to the theoretical position that Barthes' introduces right at the beginning of his essay: not only did he dedicate his essay to Sartre's analysis of imagination,[1] he also claims that the position, from which his essay is written, is a phenomenological position, framed by Barthes' introduction of concepts, such as "noema" and "eidos," and even a form of "epoche." (2) Only a few US American philosophers have taken a closer look at Barthes' reflections, which is even more surprising, given the lack of an appropriate philosophical understanding of these issues on the side of cultural theorists and art historians.[2] In the following I intend to correct the aforementioned view of Barthes' position as a simple causal realism by arguing that the relation between photograph and referent should instead be understood as a relation between the *looking subject* and the referent, which will lead to a non-naturalist thesis about the relation between photograph and referent. I do not believe, in other words, that Barthes' position is satisfactorily described if understood as an essay on the relation between the "reality" and the "photograph;"[3] rather, and for phenomenologists it should not come of any surprise, the relation of photograph and referent can only satisfactorily be addressed if we take the relation to be a part of a general analysis of *looking at* photographs. We should, accordingly, focus on the photograph and what (and how it) shows up *in* the photograph.

In this chapter, by revealing the phenomenological background structure of the essay, I shall first demonstrate that Barthes' essay is not primarily about photography taken as an object or as a praxis. I shall do this by elucidating the following three theses: (a) the photographic attitude is a way of looking at photographs (or a consciousness of photographs); (b) the photographic attitude is a way of belief/positing; and (c) the photographic attitude, noematically speaking, is a form of *imagined re-presentification* [*Phantasie-Erinnerung*]. Finally, on the basis of these considerations I will argue that a phenomenological theory, even if enriched by the Husserlian picture, remains ultimately unsatisfactory insofar as the mentalist underpinnings of this approach to photography do not permit us to understand the photograph as a medium.

The Photographic Epoche

I shall begin with a few comments on the starting point of Barthes' understanding of photography. Dale Jacquette has argued that Barthes' essay is solely based on a "personal" phenomenology (Jacquette 1982, 17), since he transforms the phenomenological task into a description of his own subjective reactions and intentions towards selected photographs, which is most visible in his central interpretation of his mother's photograph. According to Jacquette, Barthes arrives at a non-scientific and non-philosophical theory of photography on the basis of his inability to develop a universally shared idea of his subject.[4] I think that we should reject Jacquette's argument though, given that he overlooks the overall development of Barthes' essay. While formulated in non-Husserlian and non-Sartrean terms, Barthes (in his own theoretical context) carries out his investigation in the following two—overall phenomenological—steps.

First, Barthes reduces "photography" to the first-person Cartesian perspective. Instead of taking a general notion of photography into account, i.e., instead of following certain historical patterns and existing cultural codes, Barthes tries to find a point from which he can address photography with subjective *certainty*. According to Barthes, this means that one is forced to start with what oneself and not someone else *takes to be* a photograph: "So I resolved to start my inquiry with no more than a few photographs, the ones I was sure existed *for me*" (Barthes 1982, 8). Barthes does not mean, at this point, that there were only a few photographs that *existed* in the world; rather, he starts with the assumption that we must start with a selection of images that *we take to be photographs* and not other kinds of images. This seems to imply that the nature of photography cannot be found—at least not immediately—by addressing "the" photograph, given that "the" photograph only *exists* in the form of *experiencing* photographs.

Second, Barthes combines this first step with what might be called the "photographic epoche:" he writes: ". . . looking at certain photographs, I wanted to be a primitive, without culture" (Barthes 1982, 7). What else could he mean if not the Husserlian attempt (in regard to consciousness in general) to bracket all pre-judgments regarding the invested (Husserl 1983, § 56–62)?[5] What makes Barthes's text, accordingly, so interesting for phenomenologists, is its attempt to investigate *first, before anything else,* the pure and conscious relation between him (the onlooker) and the object (photographic image), i.e., to bracket external knowledge, historical constitutions, codes, and genres that might be constitutive of an image in an empirical sense. Barthes, in other words, implies with his methodological

steps that he believes that *the* photographic image can be described, but only within or by way of a *pure* relation to the image.

Consequently, the aforementioned two "methodological" steps are important because they establish photography as a form of looking, and not, as some of the opponents would prefer, as (a) a social or anthropological praxis (Belting 2006a; Bourdieu 1990), (b) a material object (Maynard 1985), (c) a sign (Scholz 2004), or (d) a technology (Stiegler 2002; Flusser 2000), which focuses on the photographer, her intentions and the historical context in which photographs appear. Indeed, his position is prominently *anti-postmodern* if by "postmodern" we mean the recent attempt to reduce photography to an effect of discourses, power, politics, or ideologies (Tagg 1988). Barthes' argument is in this sense very Husserlian in its core, inasmuch as he does not claim that we are unable to look at photography from another angle; he instead claims that the consciousness of photographs is *prior* to any other take on this subject. Put differently, all levels of what it means to deal with photography are *founded* upon a specific experience within which photographs constitute themselves *as* photographs. In this way, Barthes attempts to go back to the intuitions within which phenomena constitute themselves. Above all, photography has to be investigated from the mode within which we are *conscious of* photographs. Photographs, as Husserl would certainly support, are only alive in and through a form of looking and a form of vision. Finally, then, we are able to establish photography as a *specific* form of looking because it differs in its *noematic* features from other forms of looking and vision. I shall now turn to the first aspect of the photographic attitude: photography as a form of looking.

The Photographic Attitude I: Photography as a Form of Looking

The turn towards vision and in Barthes' language towards the *desire* to look at photographs should be seen as a result of his attempt to establish the being of photography through establishing a difference between photographs and language/texts. Here Barthes' thesis is that we do not "really" *see* photographs if we do not take them to be of interest for a viewer (Barthes 1982, 16). We all know that we are bombarded in our daily life with images and pictures. We only turn our attention to some of those images, namely when there is something *in* those images that stirs our interest and attracts our desire to have a closer look at those objects. Only then pictures become objects of our *gaze*. As Husserl already remarked, pictures

can function as signs. For example, in a book with thumbnails we usually do not take the pictures *as* pictures; rather, we take them to be signs pointing to their meaning outside of their material bearer. In contrast to signs, however, pictures are constituted for Husserl as constituting the signified *in* the signifier. Barthes is basically repeating the same argument: in order to constitute photographs *as* photographs the viewer has to move away from taking them as simple signifiers and constitute them as objects of *the gaze*. The motivation for this move, according to Barthes, is the *attraction* selected photographs have for us, which turns them into meaningful and *animated*, i.e., intentional, objects (Barthes 1982, 19–20). Desire and attraction point to the very moment in which a viewer turns her attention *to* the photograph *as* a photograph and begins to *see* the photograph *as* what it is, namely as a photograph. For example, this is at work when we—flipping through a newspaper or a picture album—suddenly become interested in a specific photograph or a specific detail of a photograph. In this moment, we switch from taking the photographs or thumbnails as signs—being part of a larger semiotic context—to taking them *as what they are* and thereby establish the photograph as a picture and as an object of a special act of looking. Consequently, if photography has an "eidos" and if this "eidos" is not a mere abstraction, then we must find it in and as a form or a mode of looking (consciousness) attracted *by* the photograph. Though it is rather astonishing, given his writings on semiotics, Barthes establishes in *Camera Lucida* a clear phenomenological paradigm.

This move towards consciousness is very important for the following four reasons: (a) it constitutes the photograph *as* photograph; (b) it constitutes the photograph *in relation to* the viewer; (c) it constitutes the materiality of the photograph as secondary to the act of perception;[6] and (d) it constitutes the photograph—primarily, though not ultimately—as an object *beneath* or beyond language and cultural systems.[7] A photograph, as Barthes puts it, "cannot *say* what it lets us see" (Barthes 1982, 100). The looked at photograph and the turn towards what is the object of the gaze, in other words, overturn (for a moment) all attempts to "read" and take photographs as a form of cultural texts. It is precisely at this point that Barthes leaves behind his earlier theory of photographs as objects of semiotic theorizing. Perception, vision and intentionality, we might say, cut through cultural codes.[8]

It should therefore come of no surprise that commentators who focus on the causal relation between referent and photograph miss Barthes' main point, insofar as they do not recognize Barthes' attempt to establish photography as a mode and an object of vision and consciousness (instead of

a semiotic mode). Accordingly, all debates about the status of the referent should, from now on, be taken from a phenomenological point of view, which requires us to think about photography in terms of a specific form of intentionality, i.e., as a *specific* relation between a *specific cogitare* and a *specific cogitatum*. Taking the latter into account, we also understand why the sudden discovery of photographs as objects of *vision* functions as a "wound" (Barthes 1982, 21). For vision inhibits and "violates," for a moment, all cultural codes and all textual interpretations of pictures, which is to say, it is based on a moment of the *absence of language*. By turning to the image we *see* instead of *listen*. The photograph as an "uncanny object" (Lowry in Elkins 2007, 316) makes us speechless, so to speak. It functions like a shock moment within which discursive meaning becomes inhibited. Barthes also deals with trauma and shock in his early semiotic essay "The Photographic Message" (Barthes 1977); however, in this essay he interprets *possible* traumatic photographs as having to do with their *contents,* such as catastrophes, etc. (Barthes 1985, 19). In *Camera Lucida* Barthes differentiates the "*punctum*" from the "shock," which is still defined as being an event *in* the system, such as a surprising aspect, a unique perspective or a new intention. In *Camera Lucida,* though, the photograph *as such* is characterized by its nonverbal character. We might say that photographs that are fully readable are not photographs in the essential sense.[9] Consequently, Barthes' thesis that photography deals with the referent *before* it deals with meaning, signs and codes (if we take meaning here as a result of "reading") is thoroughly constructed and internally coherent.

Barthes pushes the conflict between language and image one step further by his distinction between *punctum* and *studium*. The conflict between *vision* and *text* (or "reading") is echoed in this distinction; for Barthes' concept of the *punctum* is not, as a few commentators have suggested, a subjective or private moment that the viewer builds up towards the photograph (Burgin in Kemp 2006/IV, 31; Michaels in Elkins 2007, 439); rather, as Rosalind Krauss points out, it is "a traumatic suspension of language, hence a 'blocking of meaning'" (Krauss in Elkins 2007, 341). Accordingly, what Barthes calls the *punctum* is the moment at which a photograph breaks through a code and signs.[10] The *force* of the picture, for Barthes, is precisely its visual nature. It constitutes itself and comes alive *as* an image through its difference from something that is of a different nature, namely, something we can read. Though photographic images can also be read, they constitute themselves *as* images beneath and in difference from something that is meaningful on the level of texts. Photographs as signs, accordingly, are *founded* upon vision. To put this differently, the *punctum* is the moment

when a viewer leaves the photograph as an object of textual investigation and constitutes the photograph as an event that breaks through a cultural code, knowledge or instruction (Barthes 1982, 30, 55). Whereas the *studium* is a "procedure," the *punctum* is an "arrest" (Barthes 1982, 51)—it literally *stops* movement. In addition, with the *punctum* the viewer necessarily comes into the picture, too: for vision and looking are only possible in relation to a viewing and looking subject.[11] Consequently, Barthes introduces the *punctum*—the wound—because it establishes both the photograph as a photograph *and* the viewer as a viewer *beneath* or *prior to* the photograph as a text and the viewer as a reader. Barthes' theory of photography, accordingly, turns into a theory of viewing photographs.

If we take this into account, then it also becomes clearer why Barthes takes the photograph to be an object of what he calls "affective intentionality" (Barthes 1982, 21), given that it is the *punctum* as the moment that draws our attention to the photograph that lets us *want to* look and *desire to* see (something in) the photograph. Through the "work" of the *punctum*, the traumatic event that leads to a turn, the photograph animates our desire to see it. Whereas the viewer is suddenly confronted with an "I see!," the photograph itself becomes, as Krauss puts it, a moment of pointing: "You see" (Krauss in Elkins 2007, 342). The viewer, accordingly, is constituted *as* a viewer through or *with* the photographic image, insofar as the viewer feels called forth to look at the picture. It is not only the image that is looked at; rather, it is also the viewer who is looked at. In exchange for *cogito* and *cogitatum* viewer and photograph are on the same level. Neither of them can be described as an effect of the other.

The Photographic Attitude II: Photography as a Form of Positioning

If this consideration is correct, then we should come to the conclusion that Barthes—in a Husserlian fashion—does not simply refer to the "reality" or the "real" referent in and of photographs; rather, he is concerned with the way in which the referent is given and intended in an act of photographic looking or of *looking at photographs*. It is, accordingly, not only the noematic side, but also the noetic side that we should take into consideration.[12] It is no wonder, then, that Barthes himself mentions, at one point in his essay, the "ur-doxa" (Barthes 1982, 107), which, as phenomenologists knows, is taken from Husserl's *Ideas I* and means a *mode* and belief, within which an object is intentionally given *and* posited. As Husserl states, "the intentionality of

the noesis is mirrored in these noematic respects [*Beziehungen*], and one feels forced to speak again even of a '*noematic intentionality*' as a 'parallel' of the *noetic* 'intentionality,' which is 'intentionality' properly so called" (Husserl 1983, 251). What Husserl calls "ur-doxa" is the primordial relation of *noesis* and *noema* in *every* act, in which something is given. For example, even an act of hallucination has a *noema*, insofar as something is *believed* and originally posited. Indeed, all modalities and modifications of intention (*noesis*) and being intended (*noema*) go back to an original position.

Given this, we can easily see what Barthes has in mind: whereas we can have doubt about whom, what, and how something or someone is represented in a photograph, all possible belief and being-modifications (see Husserl 1983, § 103ff.) go back to a position-taking moment, by means of which the *noematic* object *itself* is both taken and given as "being there" or "existing." After the *epoche* is in place, this simply means *being given* or "is."[13] No other art, except photography, as Barthes points out, "could compel me *to believe* its referent had really existed" (Barthes 1982, 77, my emphasis). Put in Husserlian language, looking at a photograph is a position-taking akt [*setzender Akt*]. The key term in the last sentence is the "belief" on which Barthes bases his claim.[14] Here, the question is not whether a photograph "really" presupposes the existence of its referent (by virtue of its causality); rather, from a phenomenological point of view we must claim that, as long as we *see* a photograph, we are in the *belief* that the referent existed at some point.[15] Put in Husserlian terms, the *noetic* moment of positioning (and its *noematic* correlate) determines the "founding order of Photography" (Barthes 1982, 77). If we would claim that our certainty about the real existing referent would *not* be founded on the *noetic-noematic* correlation, then we would need *additional* empirical knowledge about the causal mechanism that underlies the photochemical process. In contrast, it is precisely Barthes' point that *while I am looking at* a photograph I *see* the referent, which is to say, I do not reason or *conclude* that the referent has been there *because*, for example, I know that the photochemical process produced the photograph. With rare exceptions, commentators confuse this important distinction between intentionality and causality.

This confusion is mainly based on the assumption that intentionality is identical with "intentions." In addition, the problem is not simply the *distinction* between intentionality and causality; rather, causality is *secondary* to and *presupposes* intentionality, for the causality *of* objects must itself be constituted *in* act intentionality. Put differently, that objects are experienced *as* causal (and not in different modes) presupposes the experience *of* them as causal.[16] We can apply this structure to the experience of photographs: looking at

a photographic image I primarily do not constitute the image as such as a causal object or as the result of causal processes. This is because taking the image as an object that is related to causality either requires external knowledge or reducing the image to its material bearer. Examples might be when a photograph slips out of my hands and falls down, or when I investigate the chemical structure of the image: both of these examples require switches in my attitude, since I no longer see the image as an image and instead I see the image *as* a falling object or *as* a chemical and natural object.

There has been a lot of critique of Barthes' supposedly realist position, which we would do well to analyze briefly. Two of the main arguments against Barthes are the following: first, he does not realize that which he takes to be "the" essence of photography is only "one" mode of photography, namely, photography as documentary praxis. Accordingly, what Barthes calls "essence" is itself historical; second, he does not take into account that—with the advent of manipulated images, abstract photography and digital photography—the founding order of photography has been shaken up. I contend that both arguments should be rejected from a phenomenological perspective for the following reason: the question is not whether the referent of a photograph "really" existed or was manipulated; for all modalities and modifications of how and what is intended in picture experience are based on a *subjective* and *noetic* side that ultimately, put in Husserlian terms, *goes back* to an "unmodalized primal form of the mode of believing" (Husserl 1983, 251). Consequently, even if we admit that abstract photography and digital photography have shaken up the field, they do not allow us to lose our belief and the position-taking act itself, since without this moment the photographic image would no longer be a *photographic* image. For example, in order to see a photo montage or a manipulated photo I must first take it to be a photograph before I can take it as a manipulated photograph. I must presuppose, accordingly, that *in principle* there is an original mode of which the manipulation is a manipulation. The fact that, empirically, we can be confused about what we have in front of us, does not change the intentional relation itself. In this connection, it is certainly true that photographs can not only be given in doubts, uncertainties, and hypothetical circumstances, but can also *be* given as hypothetical, doubtful, etc.; such modifications do not change the fact that they go back to an original mode of *belief*. To repeat this point: Barthes is, in *Camera Lucida*, a "subjectivist" since he claims that the photograph can be explained as a form of intentionality.[17]

As to the problem of whether Barthes' essentialism favors a specific genre of photography, we should in this case also take into account that Barthes'

theory is not about the photograph itself, but about the relation we have to it. Accordingly, as long as anti-essentialists are unable to demonstrate that different genres of photography presuppose different modes of being conscious of them, we should subscribe to Barthes' thesis that all modes of photography ultimately go back to a mode of looking at.

The Photographic Attitude III: Photography as Imagined Memory

In addition to the *noetic* and doxic moment of acts, Barthes' thesis about the temporality of the photographic *noema* has stirred intensive debates. According to Barthes, the photograph is constituted by a "mad" structure, as a "bizarre medium," and through a "temporal hallucination" (Barthes 1982, 115), since, on the one hand, we have the absence of its referent (in perception), and, on the other hand, we posit the photograph's referent as something that "has-been."[18] Our belief, in other words, does not constitute the photographic *noema* as something currently there, but as something that had been there.

The definition of the photograph as the "has-been" has been often quoted in the literature, but with no real understanding, in my view, of the phenomenological impact of Barthes' conclusion. Given what we have developed so far, we are now able to put all aspects together. The point is not that the photograph's *noema* is defined in past terms, that is, in the form of memory; rather, what we really find in the *noematic* structure of *looking at* photographs is a structure that Husserl has in another context described as a mixture and coincidence of two acts, namely, imagination and perception. For example, sitting in a theater play, Husserl claims that something strange happens: on the one hand, we are perceiving a scene (including the stage, tables, etc.); on the other hand, this positioning is negated because we do not take this scene to be "real." Accordingly, what we find here is a mixture of a *present imagination*. Husserl speaks of certain aesthetical situations as "perceptual ficta" (Hua XXIII, 515; Husserl 2005, 616), by which he means that theater plays are "as-if perceptions." In this way, the imaginary picture object coincides (*deckt sich*) (see Hua XXIII, 507; Husserl 2005, 608) with and covers over the perception, the synthesis of which can be more or less harmonized, but never totally fulfilled.

In a similar fashion, Barthes' considerations allow us to claim something similar for photography: while looking at photographs noematically we find two aspects: first, we *see* what is depicted in the photograph (that is,

we do not see the photograph itself), and second, we *see* something that is given noematically and temporally as *has-been*. Put in Barthes' more mythological terms, the photograph "is the living image of a dead thing" (Barthes 1982, 79). Accordingly, what we find in the photograph is not a *quasi-perception*; rather, our consciousness is constituted as a *quasi-memory* (phantasized memory). Photographs are "as-if recollections," i.e., we are related to them as if they were recollections (although we have them right in front of us). Put in Husserlian terms, the photographic attitude (now taken as a form of consciousness) is characterized as a *phantasized recollection*: (1) it is experienced as an "as if," (2) the referent is posited as really existing, and (3) the noema is posited as "having-been." I would like to come now to my last point.

The Photograph: The Problem of Materiality

Having outlined how a phenomenology of photography—which can be found in Barthes' *Camera Lucida*—is possible, we can now go one step further and outline a few critical aspects. For the purpose of this chapter, I shall only deal with the following problem: Barthes' "mentalist" position comes at a high price, since it is built on the assumption that photography is a *general form of consciousness* and not, as I would maintain, a specific mediality and materiality that cannot be reduced to a general form of consciousness. The reduction of a specific praxis to a general type of consciousness comes at the price that the plurality of the picturing activities of human beings is analyzed as *one* form of intentionality (as picture consciousness). The decisive step within this reduction is the thesis that the materiality of the photograph as such is not important for the experience of photography. As we saw above, Barthes claims that "normally" we do not pay attention to the material presentation of the photograph because the *first* and *founding* moment of what we see is what is *in* the picture. As Barthes' writes, "whatever it grants to vision and whatever its manner, a photograph is always invisible: it is not it that we see" (Barthes 1982, 6). What he has in mind here is quite simple: if we take photography as a form of looking and a mode of our gazing, then we are primarily not interested in the materiality of the photograph itself. In fact, we must switch into an artificial position if we want to investigate the materiality of the photograph, i.e., the colors, the paper, the frame, etc. Barthes' claims that we *either* see the photograph *as* a photograph, *or* we see the material bearer as material bearer, but never both at the same time, is not convincing, for it

is impossible to see a photograph without a frame, without taking it into our hands, or at least positioning ourselves in front of it. Accordingly, we are unable to understand the photograph without a bodily dimension of (at least possibly) touching and moving it (and us) around. In addition, the moment of looking is bound to certain other factors that we cannot investigate from a pure phenomenological point of view, such as the position of the photograph,[19] the distance to the viewer, and the *boundaries* between photograph and non-photographic environment. Without a frame, in other words, it would be impossible to constitute an act of looking *at* a photograph.

The boundary between the photograph and its non-photographic environment, however, is *not* a noetic effect. The necessary condition of looking at photographs, in other words, cannot be reduced to a pure noetic-noematic relation since our act of looking is noematically over-determined. It is precisely this material dimension that we have to take into account if we want to understand the *specificity* of the photograph in distinction from other forms of pictures and images. Phenomenologically speaking, on the noematic side we encounter a moment that *cannot* be reduced to a parallel of noetic moments, that is to say, we encounter something that we have to take into account as a *surplus* to what we find as a noetic correlate in the noema.[20] Consequently, materiality is—seen from a phenomenological point of view—constituted as that which escapes the turning of the gaze, precisely because it makes it possible.

This surplus on the side of the noema does not imply that materiality is somehow beyond our consciousness of the photograph, however; rather, it implies that my looking at the photograph *depends* upon something that cannot be immediately analyzed as a relationship between viewer and image. The image, if taken in this way, transcends the act within which it is constituted—and therefore it cannot be fully analyzed in a Husserlian framework.

Conclusion

This brief outline of a critique of Barthes' analysis leads to the consequence that Husserl—though he himself went one step further (by taking the materiality at least in the form of "picture things" into account)—should be subjected to a similar critique (see Lotz 2007a). The real question in regard to Husserl is the question of whether a Husserlian theory can contribute to the debate about the status of photography, especially since the

transcendental setup of Husserl's phenomenology exclusively focuses on the problem of picture consciousness and not, what is necessary in the case of photography, on a *specific* "empirical" mode of this consciousness. As I attempted to show at the end of this chapter, we should come to the conclusion that from a "pure" Husserlian standpoint, a satisfactory investigation of photography is impossible, since this point of view is unable to take into account satisfactorily the specificity and materiality of photography (and other arts).[21]

Notes

1 As Burgin points out, Barthes' concept of intentionality, taken over from Sartre, is decisive for an appropriate understanding of Barthes' masterful essay (Burgin in Kemp 2006/IV, 32); however, he does not go on to explain how intentionality is operative in *Camera Lucida*.

2 The failure of commentators to take Barthes' phenomenological background seriously has led to the astonishing consequence that so far there is not a single essay published on Husserl and Barthes, with the only exception of Fisher 2008. In his contribution, Fisher argues that a phenomenological analysis of photography is possible, despite the fact that the contemporary debate is focused on questions regarding photography as a medium, as a technology and as a social practice. Fisher is unable though (as other commentators) to really clarify the systematic phenomenological background of Barthes' considerations.

3 For a critique of this naïve conceptualization see Snyder in Elkins 2007, 369–85.

4 Jacquette writes: "In *Camera Lucida* he does not identify the nature of photography, but only some coincidentally shared properties in a handful of images which he happens to like" (Jacquette 1982, 27).

5 It is certainly correct to claim that Barthes does not establish a rigorous transcendental phenomenology; however, such a task is impossible because the task is not to investigate picture consciousness in general, but rather, to investigate the consciousness of photographic pictures. As I have claimed elsewhere (Lotz 2007), Husserl does not clarify this distinction and consequently runs into aporias with his theory of picture consciousness. Put briefly, a general theory of picture consciousness overlooks that it can only be exemplified in regard to *specific* material *practices*, which would force every phenomenological investigation to take the materiality, mediality, and historicity of these practices into account (see Lotz 2007). I will make a similar subjection to Barthes at the end of this chapter.

6 I shall come back later to this rather important point.

7 The move away from language to vision is followed by Barthes' attempt to reveal photography as an authentic mode of an otherwise functionalized praxis of picture taking. As Fisher puts it, Barthes' turn to phenomenology is based on "the 'breaking out' of authentic significance from banalized social reality" (Fisher 2008, 22; also see Barthes' final comments in Barthes 1982, 117–19).

[8] At this point we can see how photography can become of interest for psychoanalytically oriented scholars, such as Rosalind Krauss (see especially Kraus 1977a and 1977b). It is precisely the *move away* from language to what operates in language that is introduced by Barthes.

[9] In his early essay, Barthes' position differs from *Camera Lucida* because the role of language is central to his analysis: "the photograph is verbalized at the very moment it is perceived; or better still: it is perceived only when verbalized . . . the image . . . exists socially only when immersed in at least a primary connotation, that of the categories of language" (Barthes 1985, 17). This is not to say that Barthes later believes that language no longer plays a role in the constitution of photographs. The opposite is the case; however, the *essence* of photographs depends only on their ability to appear as something that is independent from language.

[10] It is incorrect, accordingly, to claim that Barthes "focuses on how the photographic image is *read*" (Dant and Gilloch 2002, 15). On the contrary, Barthes' whole project in *Camera Lucida* can be defined as the attempt to describe the photographic experience as the *breakdown* of language.

[11] This does not exclude the possibility of taking photographs as the result of the "unconscious" (Benjamin 1991, 371, Kraus 1999), i.e., as the result of what we *do not* see. In addition, photographs are of interest because "they slightly disrupt our sense of the security of the visual" (Lowry in Elkins 2007, 314).

[12] It is precisely the noetic moment that moves Barthes' considerations closer to Husserl than to Sartre (who neglected the noetic side of the intentional relation).

[13] We should note at this point that Barthes' thesis about the act of positing pushes him away from Sartre's analysis of imagination, to which Barthes' essay is dedicated; for, according to Sartre, imagination (and he includes pictures) is based on a fictionalization of the world, which echoes his neglect of *noetic* elements (following Heidegger).

[14] To repeat my point, interpretations of Barthes' essay as an essay on realism should be rejected because the relation of the photograph to its referent cannot be defined without the "belief" of the viewer. Accordingly, we have to correct the following account of the relation between photograph and its referent: "So my photograph of you stealing my wallet is evidence of you stealing my wallet whether or not I believe that you stole my wallet" (Michaels in Elkins 2007, 434). The point is the following: the relation between photograph and stealing my wallet depends upon one major condition, namely my *belief that this is a photograph.*

[15] One difference between the perceptive and the imaginative act, according to Husserl, is that imagination is not a position-taking act [*setzungslos*]. For example, when looking at a picture we phantasize ourselves *into* the picture and our acts thereby turn to position-less acts (Hua XXIII, 467–70).

[16] See Ross 1982, 10; Brook 1983, Scruton 1981, 579; and all of the participants in the discussion about the index in Elkins 2007, 129–204.

[17] Also note the following: Barthes claims that the arrest of the photograph is not the effect of causality; rather, it is an intentional moment and the intentional implication of looking at a photograph: "*I project* the present photograph's immobility upon the past shot, and it is this arrest which constitutes the pose" (Barthes

1982, 78, my emphasis). Another aspect of this debate about the status of the referent is the *ethical* aspect: *should* we take photographs *as* photographs (messages without code) or should we take them as coded pictures? For this question in regard to the Holocaust, see the fascinating book by Didi-Huberman 2007, who discusses the status of photographs in relation to four shots that survived Auschwitz. The question of whether photographs (and representations in general) are cultural constructs ("just" images) or have something to do with the certainty of the "have-been," becomes, in this debate, *the* central question.

[18] The "mad" structure that Barthes has in mind goes back to a religious and anthropological problem, namely the problem of whether we have a "true" image of Jesus and of whether images can function as the presence of the dead (for this see Belting 2006b, 47–52, 63–7).

[19] Husserl points to the fact that every picture has a "normal" way of being seen (Hua XXIII, 491) and claims—because of the sharp distinction he draws between picture thing and picture object—that the normality of how pictures want to be seen has to do with the thing (and not with the imagined object).

[20] Interestingly, Barthes himself refers to at least one of those moments (without noticing that he begins to contradict his main thesis), namely, to what he calls the "flatness" and the "impenetrability" of the photograph (Barthes 1982, 106–7). Although he claims that the impenetrability of the photograph is an effect of the limitations that a photograph puts on our attempt to *interpret* the photograph (i.e., the limitations that looking puts on reading), the impenetrability is the consequence of the *bodily* moment in photographs (in comparison with other forms of picturing).

[21] For an anthropological critique of contemporary notions of mediality see Belting 2006a, especially 11–14; for a critique of Greenberg's notion of materiality see Krauss 1999. A phenomenological concept of materiality, in my view, must be developed on a comparative basis and from the concept of bodily intentionality.

Part III

Ethics and the Philosophical Life

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Chapter 11

Husserl and Heidegger on the Transcendental "Homelessness" of Philosophy

Dermot Moran

For Karsten Harries

A philosophical problem has the form: "I don't know my way about."
L. Wittgenstein, Philosophical Investigations *Par. 123.*

Introduction: Breakthrough and Breakdown

Although Husserl and Heidegger became increasingly estranged from one another during the late 1920s resulting in a complete breakdown in their relationship, nevertheless their respective conceptions of philosophy and its unsettling nature remained surprisingly close and run along parallel paths during the 1930s in ways that are worth examining in depth. In this chapter I propose to look more closely at Husserl's and Heidegger's conceptions of the peculiar *homelessness* of philosophy in relation to the essentially displaced or transcendent character of human existence.[1]

Both Husserl and Heidegger rejected the classical Enlightenment view of philosophy as a universal possession of humankind, one that emerges at the mature stage of every culture. Instead, both saw the emergence of philosophy as a distinctly fortuitous historical event, brought about as Husserl put it by a "few Greek eccentrics," and attributed the "breakthrough" to (*Durchbruch*) or "break-into" (*Einbruch*, Hua VI, 273) philosophy and the transcendental attitude to a unique Greek "origin" or "primal instituting" (*Urstiftung*). Moreover, both maintained that understanding the meaning of philosophy requires that its "original" sense be retrieved and run through over again (although how this was to be done remained a matter of difference between them). Both believed that the fortuitous breakthrough to philosophy had world-shattering consequences—and deeply unsettling ones. Husserl, for instance, speaks of what is "inborn in philosophy from its primal establishment" (Husserl 1986, par. 56, 192; Hua VI, 195). Both believed that something profound about the Greek passing on of philosophy to the

West had been deeply misunderstood (Husserl: "subject to a falsification of sense"), overlooked, forgotten (Heidegger) or ignored.

The Greeks, moreover, at least according to Heidegger, did not understand the nature of their own breakthrough and indeed they bear responsibility for themselves essentially misconstruing it. The Western Christian adoption of philosophy simply confirmed and reified a distortion already present at the heart of classical Greek philosophy. For Husserl, on the other hand, it is less a matter of the classical Greek understanding of their own discovery of the purely theoretical attitude as the manner in which this attitude became distorted in modernity through its being deracinated and atrophied.

For both Husserl and Heidegger the urgency of understanding the Greek origination of philosophy is driven by the crisis of the present. Thus in the famous Galileo section of his *Crisis of European Sciences*, § 9 (l), Husserl speaks of the "task of self-reflection [*Aufgabe der Selbstbesinnung*] which grows out of the 'breakdown' situation of our time" (*aus der "Zusammenbruchs"-Situation unserer Zeit*, Husserl 1986, 58; Hua VI, 59). Since the end of World War I, in fact, Husserl had been increasingly preoccupied about what he calls in the *Vienna Lecture* the spiritual rebirth of Europe, which, for him, involves the "rebirth (*Wiedergeburt*) of Europe from the spirit of philosophy" (Husserl 1986, 299; Hua VI, 347). The parallels with Heidegger are unmistakable.[2] In the 1930s Heidegger too recognized a crisis of spirit in Western civilization and also linked this with the question of the essence of science. Heidegger believes science cannot simply be allowed to run its course unquestioned. Rather the sciences' origin in philosophy and the origin of philosophy itself have to be questioned. For instance, Heidegger proclaims in his *Rektoratsrede* of 1933:

> Only if we place ourselves under the power of the beginning of our spiritual-historical existence. This beginning is the departure, the setting up of Greek philosophy. Here, for the first time, Western man rises up, from a base in a popular culture [*Volkstum*] and by means of his language, against the *totality of what is*, and questions and comprehends it as the being that it is. All science is philosophy, whether it knows it and wills it—or not. (Heidegger 1990, 6–7; 2000b, 108)[3]

Leaving aside the question of origin, both Husserl and Heidegger believed that the practice of philosophy had an essentially disruptive and uprooting consequence. Both have their own parallel accounts of how philosophy essentially disrupts the fundamental mood of (inauthentic) self-secure everydayness and suspends the habits of the natural attitude

in order to gain some kind of privileged (authentic) stance (Husserl's "non-participating spectator") on naïvely lived worldly life. For Heidegger, especially in *Being and Time* (Heidegger 1967a, 1993) § 40[4] and in his 1929 *Antrittsrede* "What is Metaphysics?" (1998; 1967b), it is the fundamental "state of mind" of anxiety (*Angst*) that somehow makes visible the essential transcendental "homelessness" of Dasein and reveals its status as revealing Being. For Husserl, on the other hand, the rigorous application of what he increasingly began to call the "universal *epochē*" achieves more or less the same result; overcoming the "natural" experience of life in order to achieve a new and not to be relinquished form of insight into existence.

Finally, in terms of the parallels we are exploring here, in their accounts of human existence or subjectivity Husserl and Heidegger emphasize that human existence is essentially "being in the world" (*In-der-Welt-sein*) and that we are, in Husserl's word, "world-children" (*Weltkinder*), whose existence is necessarily temporal, finite, "factical" and historical. Heidegger's *Being and Time* strongly emphasizes that human existence (Dasein) is "factical" (*faktisch*), and also points out that the supposedly natural horizon from which our usual inquiries start actually contains hidden assumptions and masks deep riddles: "The 'natural' horizon for starting the existential analytic of Dasein is *only seemingly self-evident*" (1967a, § 71, 423; 1993, 371). Similarly, the essentially paradoxical manner in which the historically conditioned and finite human being can at the same time effect the transcendental transformation of culture is one of the major preoccupations of Husserl's *Crisis of European Sciences* (see especially par. 52–4).

Although Heidegger's and Husserl's conceptions of phenomenology in the lead-up to *Sein und Zeit* (1927) has been relatively extensively investigated (by Theodore Kisiel, Steven Crowell, Ronald Bruzina, among others), less attention has been paid to the parallels between their conceptions of philosophy (and phenomenology) during the 1930s (apart from the work of Luft and Bruzina, among others, involving the later Husserl and Fink's conception of the "phenomenology of phenomenology"). Here, therefore, I propose to examine some of Husserl's texts on the nature of transcendental phenomenology from the period leading up to the writing of the *Crisis* (i.e., c. 1931–1936) to explore the relation between Husserl's conception of philosophy as a transcendental enterprise and Heidegger's conception of philosophy as it developed in the same period. Both Husserl's and Heidegger's conceptions of philosophy were undergoing radical revisions at that time. Husserl abandoned his plan for a system of transcendental philosophy and began to pay more attention to the life-world (*Lebenswelt*) whereas Heidegger felt that the transcendental phenomenological

approach was too constraining for the kind of meditation he was trying to pursue.

Heidegger and "Homelessness"

Heidegger's conception of radical philosophical questioning is well known and does not need to be summarized here. The whole of *Being and Time* is an exploration of a question—the question of the meaning of Being—and what it means to raise that question in a time of forgetfulness. What is interesting for our purposes is that Heidegger singles out *Angst* (anxiety, dread) as having a special status not just in *Being and Time* but especially in his controversial 1929 Inaugural Address in Freiburg. Heidegger stresses the manner in which anxiety (*Angst*) wrenches us out of our familiarity with the world and makes the "uncanniness" (*Unheimlichkeit*) of the world visible and hence brings home to us our own essential homelessness.

As Steven Crowell has pointed out in a penetrating study, Heidegger had already encountered the concept of "homelessness" in the work of Emil Lask (see Crowell 1992). Lask had commented that Kant had not properly addressed the status of logic and had not housed it in a third realm but had left it essentially homeless in his two-world metaphysics (Crowell 1992, 79). In *Being and Time* Heidegger applies the notion of "homelessness" to the experience of Being-in-the-world itself and indeed, as we shall see, makes it central to the understanding of Dasein's transcendence.

In *Being and Time,* § 40, Heidegger talks about the manner in which Dasein as absorbed in "*das Man*" is in a kind of "fleeing in the face of itself" (*eine Flucht des Daseins vor ihm selbst*, Heidegger 1967a, § 40, 229; 1993, 184) as "an authentic possibility for being itself." Humans turn away from themselves and their authentic possibilities and attach themselves to the "inertia of falling" (*Zug der Verfallens*, 1967a, 229; 1993, 184). In a rather complex passage Heidegger argues that in order for Dasein to flee from itself it must in fact already have come face to face with itself in a certain way. So the phenomenon of what Dasein authentically is is already disclosed even in its flight from this essential possibility. Heidegger spends time analyzing the kind of flight that is involved in this falling. It is not a reaction to the threat of any entity *within* the world (Heidegger 1993, 186) rather "that in the face of which one has anxiety is Being in the World itself" (*Das Wovor der Angst ist das In-der-Welt-sein als solches,* 1967a, § 40, 230; 1993, 186). A little later Heidegger even abbreviates this claim to state baldly: "The world is that in the face of which one has anxiety" (*das Wovor der Angst ist die Welt als solche*, Heidegger 1967b, 231; 1993, 187).

The "what of" (*Wovor*) of anxiety is Dasein's peculiar and inexpressible transcendent status itself (i.e., transcendent above entities), since there is nothing "within-the-world" (*innerweltlich*, Heidegger 1993, 186), whether *vorhanden* or *zuhanden,* that is bringing about this threat. What threatens, for Heidegger, is something completely "indefinite" (*völlig unbestimmt*). It has precisely the character of "complete insignificance" (*Charakter völliger Unbedeutsamkeit*, 186) that Dasein is in the grip of. That in the face of which one has anxiety is precisely neither here nor there but "nowhere" (*Nirgends*). When anxiety has subsided we go back to saying "it was really nothing" but when we are in the grip of anxiety we are genuinely experiencing this "nowhere," neither near nor far, this genuine lack of significance of everything. Anxiety reveals the essential *nothingness* at the heart of the human experience of enworldedness.

As with Husserl, Heidegger thinks the everyday attitude is concerned with the "ready-to hand" (*zuhanden*, Heidegger 1993, 187). The experience of the "nothingness" of this ready to hand is grounded in the world: "The nothingness of readiness to hand is grounded in the most primordial 'something'—in the world" (*Das Nichts von Zuhandenheit gründet im ursprünglichen "Etwas" in der Welt*, Heidegger 1967a, 232; 1993, 187).

Heidegger goes on to speak of this experience as being "uncanny" (*unheimlich*) which he immediately glosses as "not-being-at-home" (*das Nicht-zuhause-sein*, Heidegger 1967a, 233; 1993, 188): "But here 'uncanniness' also means 'not-being-at-home' "(*Unheimlichkeit meint aber dabei zugleich das Nicht-zuhause-sein*, Heidegger 1967a, § 40, 233; 1993, 188).

This is in contrast to the tranquillized self-assurance of the "everyday publicity" of *das Man* at home with itself. Average everydayness provides the usual, normal home for Dasein. Anxiety operates to break with this "falling absorption" (*verfallendes Aufgehen*, 1993, 189) with the world. Anxiety highlights the manner of our being-in the world and the nonentity character of worldliness. Heidegger declares abruptly: "Being-in enters into the existential 'mode' of 'not-at-home.' Nothing else is meant by our talk of 'uncanniness' " (*Das In-Sein kommt in den existenzialen "Modus" des Un-zuhause. Nichts anderes meint die Rede von der "Unheimlichkeit,"* Heidegger 1967a, 233; 1993, 189).

As part of a first effort to character Dasein essentially, Heidegger speaks of it "being-alongside of" or "being familiar with" and in a note he refers back to *Being and Time* § 12 on the nature of "being-in" (*In-sein*, 1993, 53) and "in-hood" (*Inheit*, 1993, 53) as such. In that section, Heidegger explains "in-ness" not as spatial containedness but rather in terms of an etymological reference drawn from Jakob Grimm (*Kleinere Schriften*, Vol. 7, 247) to "*innan*" as "dwelling," sustaining oneself (*wohnen, sich auf halten,* Heidegger

1993, 54). He goes on to explain the "*an*" (of "*innan*") as being accustomed to, being used to. Being-in is really "Sein bei," a kind of *Aufgehen in der Welt* (54) which Macquarrie-Robinson translate as "being absorbed in the world" (Heidegger 1967a, 80).

So the basic constitutive character (its basic "*Verfassung*"—N.B. Heidegger replaced the word "*Wesen*" with "*Verfassung*" in subsequent editions of *Sein und Zeit*, see 1967a, note 2) of human existence is its "being in" the world understood as being absorbed (*Aufgehen*) in it, "getting into" it (but as we shall see, this getting-into or being absorbed in has also the essential character of not being at home in and hence can itself be disrupted or catch itself out, as it were). Traditionally, Heidegger believes, this "getting into" the world, being involved in the world, has been interpreted in terms of *knowing* the world (Heidegger 1993, 59), but Heidegger wants to emphasize that it should be more properly understood as a kind of being preoccupied with, caring for, being absorbed in it, even being "fascinated" by it. Heidegger is replacing the Cartesian paradigm of knowing with a more Pauline concern.

Clearly, given Heidegger's own theological background, one cannot but recognize the Pauline and Augustinian echoes present here. Furthermore, Heidegger, under the influence of Augustine, cannot help thinking of such a stance of theoretical inspection as motivated by a kind of debased "curiosity" (*Neugier*, 1993, § 68, 346–7)—Augustine's *vana curiositas*. When Heidegger comes back to talk about the temporal character of anxiety in *Sein und Zeit*, § 67 (b), he says that anxiety "brings Dasein face to face with its ownmost being-thrown and reveals the uncanniness of everyday familiar Being in the world" (1993, 342). In that experience of uncanniness, we lose the significance (*Bedeutsamkeit*) of entities and their "involvement" or "appliance" (*Bewandtnis*, 1993, 343—on these related concepts, see also § 18: "Anxiety discloses the insignificance of the world," 1967a, 393; 1993, 343). Notably, Heidegger speaks of anxiety being concerned about "naked Dasein" (1993, 343) thrown into uncanniness.

Heidegger wants to recuperate a certain form of being drawn into the world and being preoccupied with it into a form of *practicality* that evinces the true nature of Dasein's *Sein-bei* character. In fact, it is precisely our being able *not to be drawn into* the world that gives Dasein its true transcendence as well as its possibility of opening up its own space and making visible at the same time the space of the world. It is the "not at home" character of Dasein which must be grasped as more primordial than the everyday lostness in the familiar (see Heidegger 1993, § 40, 189). As Heidegger will say, the temporal character of anxiety refers to a "having been" and also keeps open the possibility of a possible resolution of the anxiety (1993, 344). Heidegger

paradoxically portrays anxiety as both uncovering our "naked uncanniness" (*nackte Unheimlichkeit*, 344) and captivating us with it. The peculiar temporal character of anxiety is both to make us experience not-at-homeness and at the same time to draw us into this not-at-homeness as our essential constitutive possibility. This is made clear in the discussion of uncanniness in § 58 where the kind of potentiality for being (*Seinkönnen*) that is revealed by the call of conscience is not something idealized and universal but rather individualized to a particular Dasein. Dasein experiences itself as already thrown and finds its possibilities within its thrown condition. But all this is possible because there is a "nullity" (*eine Nichtigkeit*, Heidegger 1967a, 331; 1993, 285) at the heart of Dasein, a nothingness which is at the very basis of the possibility of falling and hence of inauthenticity. Nothingness is the condition for the possibility of being inauthentic.

Heidegger's Re-interpretation of Intentionality as Transcendence

We are at a very important stage in Heidegger's existential analysis of Dasein. Heidegger objects to Husserl's Cartesian elevation of human subjectivity and consciousness especially understood as intentional in a more narrowly cognitivist manner. While Husserl was on to something extremely important, Heidegger feels, he also missed out on what was essentially significant about intentionality. Intentionality cannot be thought in terms of a cognitive relation with the world of whatever kind. Rather, Heidegger insists, it is rooted in the *transcendence* of Dasein.[5] The discussions of "being-in" and "uncanniness" are ways of approaching the character of Dasein's *transcendence*. Indeed this becomes clearer in texts written by Heidegger immediately after *Being and Time*.

Indeed, already in *Being and Time*, in an extremely important remark, unfortunately but probably quite deliberately, relegated to a footnote in § 69 (Heidegger 1967a, 498 note xxiii; 1993, 363 note 1), which is a comment on Husserl's characterization, invoking the Sixth Logical Investigation (§ 37), of sensory perception as "presencing" or "making present," *das Gegenwärtigen*, Heidegger promises to address the grounding of intentionality in "the ecstatical temporality" of Dasein in the next Division, which, of course, was never published. In this footnote Heidegger proclaims:

> The thesis that all cognition has "intuition" as its goal, has the temporal meaning that all cognizing is making present. Whether every science, or

> even philosophical cognition, aims at a making present, need not be decided here.
>
> Husserl uses the expression "make present" in characterizing sensory perception, cf. his *Logical Investigations*, first edition, 1901, vol. II, 588 and 620. This "temporal" way of describing this phenomenon must have been suggested by the analysis of perception and intuition in general in terms of the idea of *intention*. That the intentionality of "consciousness" is grounded in the ecstatic temporality of Dasein, and how this is the case, will be shown in the following Division. (1967a, 498, note xxiii)[6]

Heidegger is here making the claim that intentionality is not originary until it is re-interpreted in terms of Dasein's peculiar form of ecstatic temporality.

The importance of this footnote is underscored by Heidegger himself in his 1928 Marburg lecture series, *Metaphysische Anfangsgründe der Logik im Ausgang von Leibniz* (*The Metaphysical Foundations of Logic*) (Heidegger 1978, 215; 1992, 168). The *Being and Time* footnote is again mentioned quite explicitly in Heidegger's 1929 *Vom Wesen des Grundes* text. In fact, in this 1929 text Heidegger is insistent that the published portion of *Being and Time* has as its task "nothing more than a concrete revealing sketch [project] of transcendence" (*als einen konkret-enthüllenden Entwurf der Transzendenz*) (Heidegger 1955; 1969, 96–7).[7] Indeed, Heidegger claims this is what is at issue when, in *Being and Time,* he described the project as aiming at attaining "the *transcendental* horizon of the question about Being."

That Heidegger was preoccupied with explicating his conception of transcendence relative to Husserl is already clear from his 1927 lecture course *Die Grundprobleme der Phänomenologie* (Heidegger 1989; *Basic Problems of Phenomenology*, 1982), which is Heidegger's most extensive and explicit discussion of intentionality. Here, Heidegger again emphasizes that intentionality has been thought in the tradition (of Brentano, the Neo-Kantians and Husserl) in terms that were "inadequate" and "external," and needs rather to be reconceived in terms of the *transcendence* of Dasein:

> But what is originally transcendent, what does the transcending, is not things as over against Dasein; rather, it is the Dasein itself which is transcendent in the strict sense. Transcendence is a *fundamental determination of the ontological structure of Dasein*. It belongs to the existentiality of existence. Transcendence is an existential concept. It will turn out that intentionality is founded in the Dasein's transcendence and is possible solely

> for this reason—that transcendence cannot conversely be explained in terms of intentionality. (Heidegger 1989, § 15(c), 162; 1982, 230)

While Husserl had made intentionality the essential character of *consciousness*, Heidegger makes transcendence the essential existentiale of Dasein. Heidegger's next move is to displace the sense of transcendence from a spatial to its temporal image. The transcendence of Dasein is Dasein's ecstatic temporal character. The analyses of the manner in which Dasein occupies past, present and future, is what makes Dasein so very peculiar and gives it its transcendence. Heidegger's conception of authenticity through anxiety is a way of bringing the urgency of time to the foreground: "Anxiety springs from the *future* of resoluteness" (*Die Angst entspringt aus der Zukunft der Entschlossenheit*, Heidegger 1967a, § 68, 395; 1993, 344).

Heidegger returns to the topic of the transcendence of Dasein in his 1929 *Vom Wesen des Grundes* ("The Essence of Reason") which, significantly, he contributed to Husserl's seventieth-birthday *Festschrift*. Heidegger writes:

> If one characterizes every *way of behaving* [*Verhalten*] toward being as intentional, then *intentionality* is possible only *on the basis of transcendence* [*auf dem Grunde der Transzendenz*]. It is neither identical with transcendence nor that which makes transcendence possible. (Heidegger 1969, 28–9)

In a footnote Heidegger again refers explicitly to his remarks concerning intentionality and transcendence in *Being and Time*, § 69, and especially singling out his note (1993, 363 note). In his 1929 text, Heidegger goes on to explicate transcendence in terms of "surpassing" (*Überstieg*): "Transcendence means surpassing" (*Transzendenz bedeutet Überstieg*) (Heidegger 1969, 34–5), and states that it is not one characteristic of Dasein among others but rather it is a "basic constitutive feature" (*Grundverfassung*) of "human Dasein" (*menschliches Dasein*).

In this text (written in 1928) Heidegger is still very much tied to the language of *Being and Time* (note this use of *Verfassung*—"constitution") and he explicates his claim in terms of more traditional Kantian and Husserlian reference to subjectivity:

> If we choose the term "subject" for the being which all of us are and which we understand as Dasein, then transcendence can be said to denote the essence of the subject or the basic structure of subjectivity. The subject never first exists as "subject" and then, *in the event* [*falls*] objects are present at hand, goes on to transcend *as well*. Instead *to be* a

> subject means to be a being in and as transcending [Subjekt*sein* heist: in und als Transzendenz Seiendes sein]. (Heidegger 1969, 36–7)

Dasein *is* transcending; it attains its being in surpassing: "Transcendence constitutes selfhood" (*Transzendenz konstituiert die Selbstheit*) (Heidegger 1969, 38–9). If we connect this with what is said in *Being and Time*, we have a reiteration of Dasein as essentially transcendence and that made possible by an inherent nothingness in Dasein, which allows it to be a clearing and a lighting (see Heidegger 1967a, § 69, 401; 1993, 350). This surpassing happens as whole; it is not a matter of transcending this or that object, but everything in nature. Dasein transcends beings but what it transcends towards (its "*Woraufhin*") is *world* but of course, as Heidegger immediately goes on to point out, *not* world understood as the totality of objects but rather as the "how of being" (*Wie des Seins*).

Heidegger wants to emphasize the originality of his concept of Dasein's essential relation to worldhood as expressed in the phrase "being-in-the-world." In so doing, he invokes the "decisive origins of ancient philosophy" (*in den entscheidenden Anfängen der antiken Philosophie*) with its concept of *kosmos* (Heidegger 1969, 48–9). What is interesting in this historical excursus on the meaning of world is that Heidegger moves quickly from Heraclitus (Fr 89: the wakeful have one world common to all) to the concept of *kosmos* in St Paul and in the Gospel of John, where it is understood as the distinctly human world, the created order, the world of human (as opposed to divine) affairs, and so on (as further typified by Aquinas). Heidegger goes on to trace this conception of the world, as the specifically human, through Leibniz and Kant into recent *Weltanschauungsphilosophie*. As in earlier works, Heidegger's unique contribution to the analysis of intentionality in its Husserlian setting lies especially in his detailed exploration of the web of relatings which he calls the "worldhood of the world," the a priori backdrop to the encounter with things, and in his emphasis on its fundamental *temporal* structure. As Heidegger says in the 1927 *Grundprobleme* lectures: the "elucidation of the concept of world is one of the most central tasks of philosophy" (Heidegger 1982 § 15, 164; 1989, 234).

In his 1929 *Vom Wesen des Grundes*, Heidegger claims that a true understanding of transcendence does not reduce world to being a subjective production of Dasein but rather that Dasein somehow transcends itself into a thrown, projected world.

> The happening of the projecting "throwing the world over being" [*Dieses Geschehen des entwerfenden Überwurfs*] in which the Being of Dasein arises,

> we call Being-in-the-world. "Dasein transcends" means: the essence of its being is such that it "forms the world" [*weltbildend*], in the sense that it lets world happen and through the world provides itself with an original view (form) [*Anblick (Bild)*] which does not grasp explicitly, yet serves as a model [*als Vor-Bild*] for, all of manifest being, Dasein included. (Heidegger 1969, 88–9)

This is a very dense analysis but basically Heidegger is emphasizing the projective character of Dasein and especially its freedom to throw itself into something as that which (enabled by time) gives it its fundamental possibility. Dasein is defined by its *Entwurf*, its project or plan or sketch, or more specifically by its *entwerfender Überwurf,* its "projecting throw-over" (according to my German dictionary, *der Überwurf* is a wrapper, a shawl, or what is often informally called a "throw"; the Cambridge translation gives "casting-over"). The idea is that Dasein throws itself out in a project and at the same time what is thrown out covers over and captures the area (like a net?).

In *Being and Time*, unlike the *Vom Wesen des Grundes* text, there is a stress on anxiety as a state of mind that somehow lays bare the transcendence of Dasein. Anxiety breaks with this familiarity with the world and highlights its genuine uncanniness, its weirdness, as a result of which Dasein experiences itself as not being at home, its "untimeliness." Heidegger returns to the specifically temporal character of anxiety in *Sein und Zeit* § 69 and this is where he focuses in one *transcendence* in particular. Interestingly, in *Vom Wesen des Grundes*, when Heidegger defends himself against the (unnamed but clearly Husserlian) accusation that his approach came from the "anthropocentric standpoint," it is precisely to this § 69 (entitled "The Temporality of Being-in-the-world and the Problem of the Transcendence of the World") that Heidegger points. It is only through a proper grasp of transcendence that the concept of "the human" (*der Mensch*) comes into the center of the picture at all. The key to *Being and Time* is the manner in which it thinks through *transcendence*.

The link between anxiety and transcendence is again underscored in Heidegger's 1929 "What is Metaphysics?" address delivered in Freiburg University. Here he repeats, with different emphasis, the nature of anxiety as an experience of "nothing" and as pointing up that Dasein is already beyond beings: "Such being beyond beings we call *transcendence*" (Heidegger 1998, 91). If in the ground of its essence Dasein was not transcending, then it could adopt no stance at all. Dasein is a stance-taking being, as Husserl too would emphasize. Position taking, *Stellungnehmen*, is an essential characteristic of human subjectivity. But here Heidegger

emphasizes that normally we lose ourselves among beings (91). Anxiety brings this familiar lostness in things to an abrupt halt.

In *Being and Time* § 69 Heidegger very clearly identifies the unity of ecstatic temporality as the very condition of the possibility of Dasein. In later texts, Heidegger continues to stress the "untimely" character not just of Dasein but also of philosophy. In his 1935 *Introduction to Metaphysics* lectures, for instance, Heidegger speaks of the "untimeliness" of philosophy. Here he speaks about the manner in which philosophy breaks with the ordinary and becomes "extra-ordinary" (Heidegger 2000, 13; 1953, 10). In raising the question of being (in the form "why is there anything at all rather than nothing?") humans, according to Heidegger, "leap away from all the previous safety of their Dasein, be it genuine or presumed": "The asking of this question happens only in the leap [*Sprung*] and as the leap, and otherwise not at all" (Heidegger 2000a, 6; 1953, 4).

Heidegger goes on to talk about "origin" (*Ursprung*) being the original leap. According to Heidegger, only certain people ask this primal or originary question and make the leap. This seems to require a certain orientation towards their "human historical Dasein" (Heidegger 2000a, 7; 1953, 5). As Heidegger says: "Philosophy is one of the few autonomous creative possibilities, and occasional necessities, of human-historical Dasein" (Heidegger 2000a, 10; 1953, 7).

This remark echoes similar statements in his *Rektoratsrede*.

According to Heidegger in his *Introduction to Metaphysics* lectures, here being more explicit in his rejection of the mode of approach involving faith, people who accept the Bible as the revealed Word of God have not made this leap since they do not operate within the question. They have the answer to the question already beforehand. In this sense, faith offers a kind of safety. If it is not open to the possibility of unfaith, it is not really faith. If it is simply loyalty to the tradition that has been handed down then it is a form of convenience amounting to indifference (Heidegger 2000a, 8; 1953, 5). Against this form of security, philosophy will appear to be a foolishness. Real questioning, commitment to question is a form of "venturing."

This seems to be developing further the idea that philosophy as such involves a risk, a breaking with the conventional, a "project" (*Entwurf*) that involves some kind of leap. As a result Heidegger claims that "all essential questioning in philosophy necessarily remains untimely" (Heidegger 2000a, 9; 1953, 6). Philosophy not only does not become timely, rather it itself imposes its measure on the time. The aim of philosophy is to provide grounds for humans but it cannot be expected to do for all humans at all times; it is not a foundation for every culture as such (2000a, 11; 1953, 8).

Instead, philosophy can offer a kind of thinking that brings order and measure to the efforts of a particular historical people to fulfil its destiny. These concepts were already present in *Being and Time* but are given renewed historical specificity and even a sense of urgency during Heidegger's writings from 1927 to 1935 (just to remain within this timeframe).

Let us now turn to Husserl's engagement with the same issues. Unfortunately, here I can only tentatively sketch some of Husserl's responses to similar concerns regarding the transformative nature of philosophy and the revelation of the essential nature of human existence.

Husserl's Mature Concept of Philosophy

In his earlier published works, Husserl does not often meditate on the nature of philosophy as such, although his occasional remarks in *Logical Investigations*, *Philosophy as a Rigorous Science*, and so on, often mirror Heidegger's disrespect for traditional historical approaches to philosophical problems and his rejection of philosophical jargon (Husserl's "philosophemes") and so on. During the 1920s, however, Husserl became more and more preoccupied with thinking out the relation between phenomenology and the history of philosophy, especially in his *Erste Philosophie* lectures of 1923/4 (Hua VII) where he engages in a critical "history of ideas" (*Ideengeschichte*), in *Formal and Transcendental Logic* (1929) which sketches a history of transcendental philosophy, and this engagement with the history of philosophy comes to its apex in the *Crisis* writings.

For Husserl—as for Heidegger—philosophy is essentially Greek. Furthermore, the discovery of philosophy involved the "breakthrough" (*Durchbruch*) or "break-into" (*Einbruch*) into the transcendental attitude of the detached spectator. It was the Greek attitude, for instance, that turned the art of land-measurement into geometry. The Greeks brought a new openness and universality and indeed a sense of open horizons. As Husserl claims in the Vienna Lecture, "spiritual Europe has a birthplace" (Husserl 1986, 276; Hua VI, 321), when a new sort of attitude arises. This is the "outbreak [*Einbruch*] of theoretical attitude" (Husserl 1986, 285; Hua VI, 331) among a "few Greek eccentrics" (1986, 289; Hua VI, 336):

> Sharply distinguished from this universal but mythical-practical attitude is the "theoretical" attitude, which is not practical in any sense used so far, the attitude of *thaumazein*, to which the great figures of the first culminating period of Greek philosophy, Plato and Aristotle, traced the origin of

> philosophy. Man becomes gripped by the passion of a world-view [*Weltbetrachtung*] and world-knowledge that turns away from all practical interests and, within the closed sphere of its cognitive activity, in the times devoted to it, strives for and achieves nothing but pure *theōria*. In other words, man becomes a non-participating spectator, surveyor of the world; he becomes a philosopher . . . (Husserl 1986, 285; Hua VI, 331)

Husserl sees philosophy as emerging at a particular time in Greek cultural development, just as Heidegger in his 1930s essays sees it as a particular development of the Greek *Volk*. The emergence of philosophy in Greece is an accidental, contingent, historical fact. Nevertheless, Husserl says, it has "something essential about it" (Husserl 1986, 285; Hua VI, 332).

A particularly important theme of Husserl's 1935 *Vienna Lecture* is that, while other cultures have produced "types" of humanness, only European culture has produced the idea of a universal humanity set on *infinite* tasks. "Extrascientific (*ausserwissenschaftliche*) culture, culture not yet touched by science" knows only finite tasks (Husserl 1986, 279; Hua VI, 324). In this connection, Husserl speaks of "natural man" in the "prephilosophical period" (Husserl 1986, 292; Hua VI 339) whose outlook might be characterized as the natural primordial attitude, an attitude that has lasted for millennia in different cultures:

> We speak in this connection of the natural primordial attitude [von der natürlichen, urwüchsigen Einstellung], of the attitude of original natural life, of the first originally natural form of cultures, whether higher or lower, whether developed uninhibitedly or stagnating. All other attitudes are accordingly related back to this natural attitude as reorientations [of it]. (Husserl 1986, 281; Hua VI, 326–7)

The natural attitude is as old as human history. As Husserl writes in his 1924 lecture "Kant and the Idea of Transcendental Philosophy" lecture: "The natural attitude is the form in which the total life of humanity is realized in running its natural, practical course. It was the only form from millennium to millennium, until out of science and philosophy there developed unique motivations for a revolution" (Hua VII, 244; Husserl 1974, 20). Breaking with the natural attitude requires a revolution and this revolution was carried out by the Greeks.

In the *Vienna Lecture*, and in associated writings from the period (see, for instance, the late 1934 piece "Different Forms of Historicity," Hua XXIX, 37–46) Husserl is interested in the manner in which a "mythical-religious"

outlook provides a way of thinking about the world of that society and its relation to the whole. Natural life knows religious-mythic motifs (Husserl 1986, 283; Hua VI, 330). This mythical-religious attitude is "universal" in that it does make the world as a totality become visible in a unified way, but it is also a practical attitude not a theoretical one. The theoretical attitude has to be sharply distinguished from the religious-practical attitudes of ancient China, India, etc. This is because the Greek "mood" of *thaumazein*, wonder, has quite a specific character. Through the activities of "isolated personalities like Thales" (Husserl 1986, 286; Hua VI, 332), a new "humanity" (*Menschentum*) arises.

During the 1930s especially, Husserl's reflection on the Greeks and the "spiritual" Europe that arose from the Greek experience leads him to reflect on cultural worlds generally and on the contrasting "world of the primitive."[8] Husserl's thought is that there are different forms of humanity, different societies or social groupings ("socialities," *Sozialitäten*) that are living in a more or less isolated, or "self-enclosed" or "self-encapsulated" (*abgeschlossen*) manner (*in Abgeschlossenheit lebende Menschheiten*). Self-enclosed cultures are finite and cut off from one another; European (Greek) culture, on the other hand, has an openness and an intrinsic universality not found in other societies (see Moran 2008).

There is an essential paradox in Husserl's claim about the Greeks: how can a particular moment in the history of an individual people become something "universal"? But this is the essence of what Europe is. Translating this into the language of our theme, in one sense philosophy has a *home*, namely ancient Greece, but its essence is to be "homeless" or, in Husserl's sense, *universal*, *infinite* in its open horizon of tasks, and self-critically vigilant in the way in which it constantly interrogates its origin, procedures, and justification.

Husserl's discussion of the history of philosophy especially in *Erste Philosophie* reads it as providing a set of themes that recur in various forms in later incarnations. Thus in *Erste Philosophie* (Hua VII) Husserl speaks of the "immortality of skepticism" (*Unsterblichkeit des Skeptizismus*, Hua VII, 57) as a permanent possibility of philosophy, which emerges with Gorgias but reappears in Descartes and subsequently as the claim of the essential impossibility of a self-justifying science. Husserl speaks of skepticism as a Hydra growing ever new heads (Hua VII, 57). The essence of all skepticism is "subjectivism" (Hua VII, 58), first represented by Protagoras and Gorgias. There is a detachment of being in itself from all appearance. Being in itself becomes unexperienceable or unthinkable (Hua VII, 58). This is a kind of *Urstiftung* of skepticism. Interestingly, Heidegger offers some contrasting thoughts on the

nature of Greek skepticism in his musings on Protagoras in the Appendices to his essay "The Age of the World Picture," where he denies that Greek sophism can be a "subjectivism" in the modern sense since such a sense is possible only after Descartes (See Heidegger 2002, especially 77–80): "Every subjectivism is impossible within Greek Sophism since man can never, here, become *subiectum*. This cannot happen because, in Sophism, being is presencing and truth is unconcealment (Heidegger 2002, 80).

Interestingly, Husserl sees transcendental philosophy also arising *in nuce* at this early stage of Greek philosophy in that the Pre-Socratic skeptics made the "naïve pregivenness of the world" problematic (Hua VII, 59). The world as a whole, in its whole possibility, is now seen to be problematic, it is seen in a "transcendental perspective" (Hua VII, 60), in that it is considered from the perspective of a possible knowledge. Even subjectivity is now understood from a transcendental perspective in that it is considered in terms of its transcendental function. This is the "transcendental impulse" of skepticism (Hua VII, 60). This could not be carried further in antiquity because the objective dogmatic sciences were too strong. Descartes' originality is that he again takes up the skeptical challenge. Heidegger, on the other hand, sees the transcendental breakthrough as essentially connected to the modern turn to epistemology (Heidegger 1973, 88).

For Husserl, Socrates and Plato make the *breakthrough* to science through the discovery of eidetic knowledge (*Ideenerkenntnis*, Hua VII, 31) yet failed to identify "achieving subjectivity" (*leistende Subjektivität*) as a necessary theme of inquiry. A "genuinely rational essential science of knowledge from the subjective point of view" was lacking (Hua VII, 33). For Husserl, even mathematics did not get properly thought about in terms of its ideality until Plato and Euclid especially was a Platonist in this regard (Hua VII, 34). Husserl speaks of "the subjective dimension of knowing" (*das Erkenntnis-Subjektive*, Hua VII, 45) and is interested only in the genesis of the science of "subjective knowing" (*Wissenschaft vom Erkenntnis-Subjektiven*, Hua VII, 44), which for him, includes logic. Husserl elaborates. All sciences are sciences of objects (real or possible) but all sciences too relate to objects through real or possible subjects):

> *A universal science* of these modes of consciousness and of subjectivity in general, which constitutes and in so far as it forms any kind of "what is objective," objective sense and objective truth of every kind, in the life of consciousness, thus embraces thematically every possible subjective [element] of knowing [*alles mögliche Subjektive des Erkennens*] in all the sciences in ways similar to the manner a logic embraces thematically in

> its concepts and laws every possible objective [entity] in all the sciences. (Hua VII, 44–5, my translation)

Similarly, in *Erste Philosophie* Husserl comments on the meaning of logic and its relation to the Greek concept of *logos*. Also Aristotle is credited with attempting to found this first science of subjectivity as psychology (Hua VII, 52). In a way the manner in which psychology was introduced was a "permanent calamity" (*ein beständiges Kreuz*) for the idea of philosophy (VII 53).

What allowed for the adoption of the theoretical attitude was some kind of application of the *epoché*. According to Husserl, the purpose of the *epoché* is essentially to disrupt the fundamental (inauthentic) mood of everydayness and the natural attitude in order to gain some kind of privileged (authentic) stance (Husserl's "non-participating spectator") on naïvely lived worldly life. Although it would take us too far from our theme to demonstrate it here, I want to suggest that Heidegger's "everydayness" with its "falling" is best understood as the counterpart of Husserl's conception of life lived in the *natural attitude*. What Heidegger foregrounds in this discussion are the temporal modalities of everydayness which tend to round down our experience of time so that it has a kind of indefinite presentness or "normality." Life creeps in its petty pace from day to day, as Shakespeare put it. It also involves a certain placing of the present under the shadow of the past; this, for Heidegger, is inauthentic passive awaiting of time rather than authentic seizing of the day and decisively projecting into a specifically chosen future. Clearly, Husserl does not describe the experience of time with the same sense of existential involvement as Heidegger does, but there undoubtedly is in Husserl a complex approach to the experience of temporality and also of history, as is made clear in the reflections on the history of philosophy in some of the *Crisis* appendices (including the "Origin of Geometry" fragment). Husserl can thus write: "The historical reflection we have in mind here concerns our existence [*Existenz*] as philosophers and, correlatively, the existence of philosophy. Which, for its part, *is* through our philosophical existence" (Husserl 1986, 392; Hua VI 510).

In the *Crisis* Husserl makes his most sustained effort to develop a phenomenological approach to issues concerning temporality, historicity, finitude and cultural and generational development (so called "generativity," Husserl 1986, 188). The *Crisis* itself is presented as a "teleological historical reflection" (Husserl 1986, 3), a kind of intellectual "reconstruction" or "backwards questioning" of the history of western culture (and philosophy) in order to produce an "eidetic history" and identify its hidden goal (*telos*) and "motivation" (Husserl 1986, 11). For Husserl, there is a dynamic

element to reason, it is seeing to realize itself, come to self-actualization and also self-clarity (as Husserl writes in § 73 which Walter Biemel placed as the concluding section of the *Crisis*):

> Thus philosophy is nothing other than [rationalism] through and through, but it is rationalism differentiated within itself according to the different stages of the movement of intention and fulfillment; it is *ratio in the constant movement of self-elucidation* [*Selbsterhellung*] begun with the first breakthrough [*Einbruch*] of philosophy into mankind, whose innate reason was previously in a state of concealment [*Verschlossenheit*], of nocturnal obscurity. (Husserl 1986, § 73, 338; Hua VI 273)

Husserl speaks of the correlative "discovery" (*Entdeckung*)—turning in a subjective direction—of "long-familiar man" (*des altbekannten Menschen*) as the "subject of the world" (Husserl 1986, 339; Hua VI 273). Husserl even wants to give human beings a "new rootedness" (*eine neue Bodenständigkeit*, Hua VI 200), a genuine one as opposed to the false one offered by modern science, by transforming their culture to one based on universal reason. But he also acknowledges this requires reflections on the failure to date of the philosophical tradition which was meant to achieve this end (see Husserl 1986, § 59). In part, the answer is expected, human beings can bear very little reality: "The complete inversion [*Umkehrung*] of the natural attitude, thus into an 'unnatural' one, places the greatest conceivable demands upon philosophical resolve and consistency" (Husserl 1986, § 57, 200; Hua VI 204).

From the standpoint of the natural attitude, philosophy will always appear as "foolishness" (VI 204). Humans can never feel at home in the transcendental attitude and indeed this attitude requires a permanent wakefulness and vigilance which is the opposite of the rootedness and "at-homeness" of life lived in the natural attitude.

Heidegger is making a stronger issue of the historicality of Dasein. But at the same time he is severely critical of those who want to make out that the Greeks were somehow "primitives" or that an anthropology can determine their world view.

Notes

[1] An earlier version of this chapter was presented at the Husserl Circle, Marquette University, in June 2008. I am particularly grateful to Pol Vandevelde, Steven Galt Crowell, Burt Hopkins and Sebastian Luft for their helpful comments.

[2] And have been noticed by commentators, especially Jacques Derrida (Derrida 1987).

[3] For a discussion of this point, see Harries 2009, 39–44.

[4] John Macquarrie and Edward Robinson translate the seventh German edition.

[5] For further discussion of Heidegger's critique of Husserl and Brentano on intentionality, see Moran 2000b.

[6] The original Macquarrie-Robinson translation erroneously has "ecstatical unity" in place of "ecstatical temporality."

[7] The text itself was written in 1928 as Heidegger records but published for the first time in 1929.

[8] Interestingly, in his *Introduction to Metaphysics*, Heidegger is severely critical of those who want to make out that the Greeks were somehow "primitives" or that an anthropology can determine their world view. The Greek breakthrough completely distanced them from the world of the primitive.

Chapter 12

Husserl's Categorical Imperative and His Related Critique of Kant

Sonja Rinofner-Kreidl

It is commonly acknowledged that Husserl's ethics splits into two distinctly different approaches. The early one dates back to the first decade of the twentieth century and, roughly characterized, focuses on an idea which Husserl adopts from his Austrian teacher Franz Brentano, namely the parallelism between logic and ethics. According to Husserl's interpretation, this idea results in what he calls formal axiology and formal practology.[1] The second stage of Husserl's ethics, which starts off at the beginning of the 1920s, is motivated by his reading of Fichte and Kant and, presumably, by his personal experiences surrounding World War I. This later ethics centers round a theory of person and an idea of teleology with regard to one's personal life. In the following I shall refer to Husserl's two-staged ethics with the terms "ethics I" and "ethics II." Husserl's early ethics, i.e., *ethics I*, presents itself as some kind of rational intuitionism. This intuitionism lies beneath his Brentano-style reformulation of Kant's categorical imperative. Later on Husserl did not withdraw or challenge this approach that strongly determines his understanding of Kant's ethics. To be sure, Kant's basic concern with reason is deeply attractive for Husserl. Yet they fundamentally differ with respect to how they interpret reason and limit its scope. This goes hand in hand with a reorientation of *ethics II* which, *at first sight*, can be described as an approach to an Aristotelian (or other type of) virtue ethics, thereby thrusting into the background a hitherto predominant rational orientation.

There is ample textual evidence that Husserl puts much emphasis on criticizing both Kantian moral philosophy and the eudaimonistic and hedonistic tradition which strongly nourishes current strands of virtue ethics. However, Husserl rarely tries to pin down his critique to a detailed textual exegesis although his attempt to integrate elements pertaining to these traditions certainly would have benefited from such an inquiry. This lack of interpretative and analytic acuity in Husserl's relating explorations entails

that he partially misconceives the theories referred to. It also tends to disguise the immanent difficulties impeding the attempt to bring together deontological and teleological approaches.[2] Figuring out some of these problems with regard to Husserl's critique of Kant's moral philosophy is a guiding concern of the following considerations. Our main interest is to understand the meaning, function and scope of a categorical imperative within the framework of Husserl's ethics. This aim will be achieved by means of a two-step procedure. We shall start with discussing Husserl's critique of Kant's Categorical Imperative (I). In a second step we shall explain how Husserl appropriates the notion of a Categorical Imperative within the framework of his phenomenological philosophy (II).

Since our investigation centers round the issue of a Categorical Imperative, it is not surprising that, relating to Husserl's presumably intermediate position between Kantian ethics and virtue ethics, we strongly favor the Kantian perspective. This seems to be legitimate because, on the one hand, Husserl extensively deals with Kant's ethics, partly in a constructive, partly in a critical mode. On the other hand, modern virtue ethics, ever since it entered the picture a few decades ago, mostly forced its issues by way of attacking and dismissing exactly those claims that constitute the very core of Kant's ethics, namely the recognition of the idea of pure reason and the demand on establishing a law-based objectivity and universality in moral reasoning (see, for example, Foot 1997a, Crisp and Slote 1997, Statman 1997). What ultimately is at stake here is the issue of what ethics is all about, of what results ethical theory can be expected to achieve, of what kinds of questions it is supposed to answer. Therefore, the controversy between Kantian ethics (or: *a* Kantian ethics) and predominantly teleological approaches, which seems to mark a permanent *Grundlagenkrise* in ethical theory, complies with a genuine phenomenological interest, namely making explicit the tacit presuppositions lying beneath our theoretical and practical activities.

Husserl's Critique of Kant's Categorical Imperative

As Husserl occasionally mentions, the Categorical Imperative is the most important problem in ethics (see Hua XXVIII, 137). Or, to put it in more general terms, the most important problem in ethics is how we judge the possibility of arguing in favor of an objective and unconditionally binding moral obligation. Discussing Kant's idea of a Categorical Imperative is by no means a transient concern in Husserl's ethics. This is due to the fact that he

is well aware that the Categorical Imperative is the very core of Kant's moral philosophy.[3] In the following we shall focus on the meaning and function of the Categorical Imperative (CI). We shall not discuss issues involved in its proof or justification, i.e., issues referring to the question: "How is a CI as a synthetic a priori judgment possible?" (see Kant 1948, 105f., 113–15, Kant 2002, 45f., 167–73). Hence we shall not go into details, for instance, with regard to Kant's conception of freedom, though we have to take notice of its fundamental meaning with regard to the idea of morality. Since Husserl does not lend much weight to the different versions of the CI elaborated by Kant, we refer to the wording of the so-called basic formula (*Grundformel*): "*Act only on that maxim through which you can at the same time will that it should become a universal law*" (Kant 1948, 84).[4] In *ethics I* Husserl endorses a sharp criticism of the formal character of Kant's Categorical Imperative, which I shall comment on in the following. There are no indications in *ethics II* that Husserl did not adhere to this critique any more, although his later ethical writings certainly set up new points of relevance.

What are the main arguments Husserl raises against Kant's CI? In order to answer this question we may refer to one of the supplementary texts published in Husserliana XXVIII which, in a rather dense and articulate way, presents Husserl's account of the deficiencies he considers Kant's CI to be afflicted with. The text at issue is entitled "*Kants kategorischer Imperativ kann kein Bestimmungsgrund des Willens sein. Der wahre Gedanke in Kants Lehre: Objektive Geltung ist gesetzmäßige Geltung.*" It originally was part of the lecture course *Basic Issues of Ethics* from 1902/03.

> *Every action is immoral which is accomplished according to a maxim not suited for general law.* That means: it is immoral if the attempt to generalize the maxim at issue, purely formally considered, results in contradictions. Poor men! Just now I am hungry and sitting down at the table in order to have lunch. Roast veal is being served. Am I allowed to eat? If I eat, the maxim lying beneath is the following: a *hungry person sitting down at a table where roast veal is served will eat it.* May we understand this as a general law? Obviously not. How about intelligent beings who were by nature herbivores? They would seriously upset their stomachs and collapse. Since the above maxim cannot be understood as a general law it, consequently, is immoral to eat roast veal. Since this is true for any possible food, we would have to starve in order not to counteract the law of morality.
>
> However, we could try to reformulate the maxim, e.g., every hungry man wants to eat. Yet, relating to this, we immediately discover a deficiency

> inherent in the formal character of the law and the method of determining the ability for generalization. *Obviously, this proposition can be applied in a totally arbitrary way. In every case the maxim can be formulated in different ways, including more or less general circumstances of acting. Therefore, we are facing different and opposing possibilities of generalization*. This becomes evident if we look at Kant's examples, e.g., concerning the case of borrowing money. If we express the relevant maxim by saying that nobody needs to keep his promises, then we may conclude: thus nobody would be ready to make a promise any more, and the law would be annulled. But what about the following formulation: nobody needs to keep a promise if it lacks any written acknowledgement? In this case people would be more careful and especially more careful with their documents.
>
> By the way, it is rather odd to argue that the practical law would be annulled if there were no possible cases of application left. Will a penal law be annulled if it turns out that, due to its implementation, the citizens do not steal or murder any more? Doesn't the law, on the contrary, prove its worth most saliently when it bears this effect? And isn't that the sole purpose of its implementation? (Hua XXVIII, 415,[5] my emphasis)

In order to discuss in detail the objections Husserl raises[6] we may say that they refer to

- the object of the CI, i.e., the maxims that are meant to be tested
- the peculiar practical character and practical relevance of the CI
- the formal character of the CI
- the interpretation of what "possible generalization," "being amenable to generalization" means within the framework of Kant's analysis
- the meaning of the term "application" in this context.

With regard to these issues there are some basic misapprehensions lurking behind Husserl's comments on Kant's CI. Husserl starts with asserting that, according to Kant, *every* action is immoral whose maxim is not suited for general law. Here, it is important to notice that Kant does not intend to talk about every possible intention whatever. His inquiry refers to morally relevant maxims without thereby assuming that it could be the task of his moral principle, i.e., the CI, to delineate or discover morally relevant purposes.[7] Kant's CI operates with regard to given maxims. It does not produce or introduce maxims. In other words: it does not operate within a moral vacuum (see Singer 1975, 340). Actually, there *seem* to be a lot of

maxims that are morally irrelevant. Take this one: "Every morning when I wake up, I will immediately get up and start out running a marathon's distance." To be sure, if we adhere to Kant's notion of a maxim, we are not allowed to designate this purpose a "maxim" (see Kant 1948, 66; 2002, 103). Maxims, strictly speaking, are consciously, deliberately and freely adopted principles that guide one's conduct with regard to certain basic aspects and basic types of situations human beings cannot avoid to encounter due to the finitude and vulnerability of their lives, e.g., to get into some kind of emergency and to be in urgent need of help. Maxims are final determinations of our will, in contradistinction to short-term rules or social as well as individual practices that are followed from purely pragmatical or conventional reasons. Hence it is wrong to assume that every intention or purpose *whatever* would represent a maxim.

This being so, the above sentence ("Every morning when I wake up . . .") obviously does not represent a maxim according to Kant. It is a morally irrelevant intention (*eine außermoralische oder nichtmoralische Zwecksetzung*) insofar as it does *not* refer to and is *not* embedded in a long-term practical resolution concerning the way one wants to live one's life. Talking about maxims we do not (and cannot) restrict ourselves to concrete and current situations. As sketched above, maxims refer to personal policies. Therefore, they always imply an idea of the kind of person I want to become as well as an idea of those moral demands that I consider indispensable with regard to leading my life.[8] *Morally irrelevant intentions* (e.g., going for a walk every morning; singing a song while buttoning up one's jacket and the like) must not be confused with *morally indifferent maxims,* i.e., morally permissible maxims that, according to Kant, one is allowed to realize without thereby being necessitated to realize them (to a maximal extent).[9] While the latter have successfully passed through the universalization test, the former are not qualified to be rendered subject to this test.[10]

Clearly, we cannot expect every other (reasonable) person to live by the above-mentioned rule ("Every morning when I wake up . . .") throughout her life. (Doing so, for instance, would not be good for pregnant women, cardiac patients or persons who are seriously overweight). Yet the reason for this is not that the purpose at issue failed to pass the universalization test but that it does not even belong to the proper purposes to be tested. By the same token we should argue that eating roast veal in case of hunger cannot be stipulated as a general rule to be observed by everyone. This is true, according to Kant, regardless of whether or not the relating purpose succeeds in passing the universalization test.[11] Given that morally relevant maxims do not exhaust the overall class of purposes (what is overly clear

for Kant), we are not allowed to conclude, as Husserl does, that every action is immoral whose purpose resists the attempt to universalize it. From a Kantian point of view, arguing in such a manner is thoroughly absurd.

There are further reasons that urge us to challenge Husserl's way of reporting on and criticizing the CI. Husserl's phrasing "a hungry person sitting down at a table where roast veal is served will eat it" does not represent a maxim (as he takes it for granted). As we already know, a maxim, according to Kant, is a deliberately and voluntarily acknowledged instruction concerning the direction of one's own decision-making (*subjektiver Wollensgrundsatz*). In the present case we are not concerned with a maxim but, instead, with a hypothetical assertion whose single purpose is fact-finding or prediction of future occurrences respectively. In other words: Husserl ignores the peculiar *practical* character when talking about maxims. There may be a maxim involved in his statement, albeit tacitly. In saying "a hungry person sitting down at a table where roast veal is served will eat it," Husserl might, indeed, have a maxim in his mind. We can tentatively express it as follows: "I will always try to satisfy my personal needs as promptly and exhaustively as possible irrespective of my (professional, social or moral) commitments and duties."

Following the above line of reasoning we do not want to deny that it is difficult to figure out those maxims that we adhere to in specific situations. Yet it seems to be a highly exaggerated appraisal of this difficulty when Husserl maintains that we can *arbitrarily* phrase maxims with regard to a given situation. This is, as he argues, due to the fact that Kant's moral law is a purely formal law. It does not have any content.[12] This presumably represents the most widespread objection to Kant's principle of morality. It is well known at least since Hegel's and Schopenhauer's relating critiques. Husserl unhesitatingly follows this objection. Consequently, he refers to *diesen abstrusen Formalismus* (Hua XXXVII, 415) and *jenen extremen und fast absurden Rationalismus . . . den Kant gewählt hat* (Hua XXVIII, 407). Yet, when scrutinizing the objection of formalism it turns out that such an objection fails to meet Kant's considerations. His CI is not devoid of content by and large. It is devoid of any content that refers to arbitrary material objects or material purposes of acting, i.e., a content that differs from the act of volition enabling us to strive for whatever objects and purposes. The latter, according to Kant, manifests itself in the ability to adopt principles, maxims or rules. The object of practical deliberation as formulated in the CI is the structure of being volitionally directed towards something on condition that the formation of my will is subject to the idea of reason.[13] The "content" of the CI is the self-relatedness of human volition insofar as it manifests

freedom, i.e., insofar as it manifests the ability to set up ends and, doing so, to act from reason instead of being determined by natural causes. Kant takes it that an autonomous will, and *only* an autonomous will, can be concerned with its own consistency or inconsistency and that a human person *must* have an interest in its own consistency. This is due to the fact that he considers the autonomous, i.e., free will rational. The demand that human agents are endowed with the ability of rational self-determination, according to Kant, requires to distinguish carefully between *arbitrary purposes,* on the one hand, and *necessary purposes,* on the other hand (see above note 2). Since it is hopeless to expect any relevant and reliable agreement with regard to the desirability or objective value of the wide range of material purposes human agents may endorse, it is only with regard to the formal purpose of a rational, i.e., law-directed will that we can claim to establish a moral principle of universal validity. Given that it must be possible (at any time) to realize those purposes that are pointed out as necessary, it is evident that the relevant purposes must not depend on uncertain circumstances. We may try to do our best in order to live in good health, to gain or accumulate property, to enjoy happy romances and so on. Yet we often realize that we lose our grip on those occasional facts and circumstances that decide upon our actual success relating to our happiness, health, wealth and the like. Contrary to this, the consistency of our will is under our control (see Kant 2002, 54).[14] According to the above we may say that Kant's CI delivers a specific interpretation of the close connection between rationality and morality. Although the respective considerations are formal in terms of disregarding arbitrary material purposes, it is wrong to argue that Kant's CI would be devoid of any content (as Husserl assumes): it is wrong to argue that Kant neglects to refer to any purposes altogether.

Finally, what about Husserl's arguments concerning the application or non-application of laws? The main issue here is the difference between an *actual* non-application of a moral or juridicial law and an application that is, as Kant argues, strictly speaking impossible because either the formation of my volition, which lies beneath the maxim in question, or its implementation is self-defeating. This difference, indeed, should be uncontroversial: whether a law lacks application due to contingent circumstances or whether it cannot be applied on principle, however circumstances may change in the future. With regard to the former the statement of non-application is of merely preliminary validity, since at any moment an opportunity or practical need to apply *can* occur. Moreover, Husserl's reference to the penal law in this context actually eliminates the self-relating character of practical deliberation. Let us consider this issue by taking up the example of making promises.

Kant's relating question is: Am I allowed, under certain awkward circumstances, to give a promise while intending not to keep it? The crucial part, of course, is "while intending not to keep it." It is only with regard to the agent's intention that Kant can argue, on purely rational grounds, that the maxim at issue is self-defeating. There is no room for self-contradiction if we refer to external and contingent consequences of the action at issue, i.e., my making a promise, and if we, accordingly, replace the above by asking: "Am I allowed to make promises that, as it may turn out afterwards, I do not keep (or: cannot keep) for occasional reasons?"[15] Equally, there is no room for self-contradiction if we say: "As we know from personal experience and from statistical evidence piled up by social scientists people (in this or that country, with this or that descent, in this or that age and professional embedding) tend not to keep their promises under the following circumstances x_1- x_n." Of course, the same holds true with regard to statements based on that kind of empirical evidence Husserl may have in mind here: "Promises that are submitted as claims under a contract are far more often kept than oral promises." Kant cannot (and actually does not) ground his argument on empirical facts and external consequences or circumstances.[16] His argument runs as follows: being trustworthy is part of what it means to give a promise: it is part of the definition of "giving promises." Suppose that someone who promises to return a certain amount of loaned money within a certain period of time actually is determined not to do so *while promising to do so*. In this case the person who gives the promise deceives his partner and falls prey to a self-defeating intention: he binds himself to a specific future behavior and, simultaneously, does not bind himself to this very behavior. Imagining this to be a general law we should say: whenever a person makes a promise he does not do so honestly. If we agree that being trustworthy (or: omitting to lie) is part of the semantics of "making promises," this obviously amounts to annihilating the purpose of a promise by making promises.[17]

By introducing the analogy with the penal law Husserl, moreover, invalidates his initial statement that what has to be tested are maxims and not singular actions that might realize the maxim in question (see Hua XXVIII, 65f.). It is a rather unusual and, in some respects, dubious way of using the word "application" if we call the procedure of testing maxims an "application" of the law of morality. This is misleading since what is at stake here is not, as in case of the penal law, that an already formulated and implemented law is brought to bear with regard to particular occasions of acting or omitting actions. The latter circumscribes the usual and solid scope of applications. Here we are faced with well-known cases of what we may call "*executive application*." If it does make sense to talk about

"application" with a view to testing maxims in order to find out whether they might be suited to function as moral laws, we should grasp this peculiar model of application as a *constitutive application*. Thereby we indicate that in this special case there is no pre-given law in terms of a concrete, materially definable and defined prescription stating how one should act or is permitted to act. Given that we are talking about constitutive types of application it is, contrary to Husserl's objection, by no means "odd to argue that the practical law would be annulled if there were no possible cases of application left."[18]

Following Husserl's line of reasoning with regard to the (non-)application of laws amounts to ignoring the fundamental difference between judicial laws and moral laws in another respect. It is not at all the purpose of moral laws to abstain people from violating the law by means of an impending punishment laid down in the law. From a Kantian point of view doing justice to the moral law is not warranted by merely acting in accordance with the law or by refraining from contrary actions. Beyond that it is required that the relevant action is done from the right motive or reason and not, for instance, because one is afraid of punishment.[19] The latter reflects Kant's question whether there is any objective moral obligation, distinct from legal restraint, to keep one's promises. Mixing up the totally different meanings of "penal law" and "moral law" and the corresponding modes of application Husserl makes us believe that he does not have a sound understanding of the idea of a CI as it has been introduced by Kant.[20] The same tendency manifests itself when Husserl explains the difficulties inherent in Kant's CI by means of his roast veal example. What this example, among others, illustrates is that Husserl is inclined to disregard the peculiar function of maxims. Consequently, he considers maxims to be totally arbitrary with regard to their specific phrasing.

Going through Husserl's objections to Kant's CI the result is a thoroughly negative one. Having shown this I do not want to suggest that there are no systematic problems with regard to Kant's explanation of the CI. Obviously there are. Yet in order to discuss these problems, e. g., how to understand the peculiar feeling of esteem for the moral law (*Achtung*) that Kant introduces in his *Critique of Practical Reason* (part three), we first of all have to make sure that we really talk about the issues Kant has in mind and avoid distorting them beyond recognition. However, we have to be careful not to judge on Husserl's ethical ideas by following systematic requirements that are not his own but, for instance, Kantian in origin. Provided that the above analysis is correct we certainly will be cautious not to expect any substantial convergence between Husserl's and Kant's ethics.

How to Appropriate the Idea of a Categorical Imperative Phenomenologically (Brentano's Legacy)

As argued above, Husserl's critique of Kant's CI does not rest on sound arguments. Viewed historically, Husserl's objections are neither new nor productive in terms of encouraging hitherto neglected or unknown ways of considering ethical issues.[21] Yet things may change if we dig into Husserl's own phrasing of a CI. What Husserl introduces under the heading "CI" actually is a formula coined by Brentano[22]: "Always do the best among the attainable within your respective overall practical sphere." (*Tue das Beste unter dem Erreichbaren innerhalb deiner jeweiligen praktischen Gesamtsphäre*, Hua XXVIII, 142).[23] Ironically enough, this "formal objective imperative" (142) seems to reflect one of Husserl's main objections to Kant's CI, namely that it is devoid of any content. However, this is not an embarrassing error that, unintentionally and unnoticed, would have slipped into Husserl's reasoning. On the contrary, Husserl straightforwardly declares that his "CI" is part of a so-called formal practology. It is meant to represent a purely formal prescription. In order to understand the meaning and scope of Husserl's imperative we have to bear in mind that his general approach to practical philosophy is determined by the so-called *analogy between different types of reason* (see Hua XXVIII, 3–69).[24] According to Husserl, there are as many types of reason as fundamental types of acts regarding the structure of consciousness.

The basic idea of Husserl's ethics can be stated as follows: volitional acts cannot be formed and, consequently, their results cannot be implemented unless some kind of material determination is effective. Every possible act of willing is founded upon an act of valuation.[25] Therefore a general philosophical ethics, which, according to Husserl, comprises the total sphere of practical reason and reasonable actions, must be founded upon a theory of value (see Hua XXXVII, 24, 235; Hua XXVIII, 417). The latter is concerned with reason in the sphere of feeling. Acting rightly means doing the morally good and abstaining from doing the morally bad. Although we may investigate the rightness of an action with a view to formal requirements too (e.g., with a view to consistency), the moral goodness of an action does not depend on such formal qualities. Therefore it must be possible to judge the moral goodness of the purpose the action at issue tries to realize. There must be some way to decide whether or not it is worthwhile trying to realize this purpose. In other words: there must be some way to establish that certain goods, which possibly function as purposes of our actions, represent positive values. According to Husserl, values can be grasped by means of a "reasonable feeling" (Hua XXVIII, 414). Whereas a special kind of

feeling is required to grasp the values represented in the material content of our actions, there are also formal approaches by means of which we can investigate the intentional structure and objects of volitions and actions.[26] Depending on whether these formal relations refer to the objects of evaluative acts or to the preference rules that direct a rational or reasonable choice we are concerned with either formal axiology or formal practology.

On the basis of this very briefly sketched overall structure of Husserl's ethics,[27] we have to note that his so-called "CI" is part of the lowest level of ethical consideration, namely part of a formal practology that is concerned with formal relations holding with regard to preferences. Thereby we have to assume that there are goods and values which function as objects of formally defined relations of preference. According to Husserl's construction, the material content of his CI (as well as, consequently, its applicability) cannot be warranted by the CI itself. It has to be provided by means of an axiological theory. Elaborating this theory is an independent and necessary task Husserl's ethics has to meet. Otherwise his CI would be of no practical use whatever. In this context it should be noted that Husserl's CI is not part of an ethics of maxims. It is meant to be directly applicable to singular actions. The regulative function of Husserl's CI refers to actions insofar as they realize specific (relations of) values and systems of values under particular real circumstances.

Neglecting to follow the CI amounts to either failing to grasp the basic laws at issue or suffering from a lack of motivation to act in accordance with one's knowledge. In both cases we are not concerned with a purely cognitive failure. Insofar as grasping values requires an ability to feel, it is, on the one hand, not an intellectual or cognitive issue when someone fails to recognize (specific types of) values. On the other hand, Husserl's view on motivation seems to correspond largely to a shared conviction among virtue ethicists (see, for example, Foot 1997b). Given that I acknowledge the right purposes (due to grasping the right values lying beneath these purposes), I am automatically motivated to realize these purposes. This is due to the fact that acknowledging purposes cannot be understood as a purely intellectual procedure. It already involves a practical commitment based on emotional attitudes towards the situation at issue. Relating to this indissoluble connection between recognizing values and being motivated to act accordingly, we may talk about "practical knowledge" within a phenomenological framework. Husserl's CI can only function prescriptively on condition that the agent has the relevant practical knowledge at her disposal. "Practical knowledge" in this peculiar sense refers to an eidetic knowledge about values and relations of values which includes a corresponding disposition to act. Relating

to this assumption, which concerns the interaction of theory and practice,[28] we may endorse the following thesis:

> T1 Considering the overall theoretical structure in which Husserl's CI is embedded, this CI either represents a purely formal law or, in case that it receives a material interpretation, *which renders possible its application* (see Hua XXVIII, 139), it represents a hypothetical imperative.

In the latter case it has to be granted that Husserl's original phrasing is essentially incomplete. The complete formula, which is much more telling although rather long-winded, runs as follows: "Given that I am faced with a particular range of options to act and given that I know that choosing these ways of acting necessarily requires to acknowledge specific values and relations between values, I should do the best among the attainable, i.e., I should choose *that* way of acting, which allows for realizing more positive values or more values of a higher rank or, conversely, which prevents more negative values or more values of a lower rank from being realized, if their realization entails that values of a higher rank cannot be realized."[29] To put it in a more general and less complicated form: "If we refer to the practical sphere x, thereby necessarily acknowledging the basic axiological as well as preferential laws a_1-a_n that are constitutive of this sphere, then we *can* direct our actions and, for the sake of rationality, *must* direct our actions according to the law 'always do the best among the attainable.' " Every person who is concerned with the practical sphere at issue has to act according to this imperative *under the condition that* she acknowledges the relevant material values (and wants to consider herself a rational being). Hence Husserl's imperative is of a hypothetical nature: its effectuation depends on acknowledging particular material values; it takes place "under the condition that . . ." Referring to this hypothetical imperative we can advance a second thesis that obviously is stimulated by Kant's relating considerations:

> T2 Husserl's hypothetical imperative could be transformed into a moral law strictly speaking, i.e., a CI, only if it could be proved that acknowledging particular values, ranges of values or hierarchical systems of values is necessary in order to live a human life in an appropriate way, namely, according to Husserl, a life grounded in reason.

Husserl does not present such a proof and seemingly does not consider it necessary to do so in order to justify his idea of a CI as well as his idea of a philosophical ethics in general. Actually, it may be doubted whether the

requested proof could be given within the horizon of Husserlian phenomenology or otherwise.

T1 and T2 may appear as perplexing if we remember that Husserl agrees with Kant that moral obligations require an unconditioned ought, i.e., a CI. Yet the upshot of our analysis is that Husserl, on the one hand, presents a purely formal imperative *if* we consider it from the theoretical point of view of formal practology. On the other hand, he presents a hypothetical imperative *if* we consider it from the practical point of view of bringing together formal practology and formal axiology according to the requirements of concrete situations. This twofold meaning and function of Husserl's imperative is due to its systematic framing. The latter does not allow for asserting an absolute (categorical) ought with regard to any possible action. This is reflected in Husserl's qualification: "Do the best among the attainable *within your respective overall practical sphere*." What does that mean? Laws of preference and laws of weighing different values and relations of values involve comparative judgments. Consequently, they are, by nature, relative laws. This is due to the fact that every additional option concerning my choice and way of acting, on the one hand, and the available amount of valuable goods, on the other hand, which may come into play from now on, will modify the original practical sphere. Since it cannot be ruled out by a priori reasoning that any such modification will give rise to modifications with regard to the evaluation of singular items, Husserl makes use of a fundamental idealization. His formal imperative, practically viewed, cannot result in a positive and unequivocal prescription to act in a specific way unless we stipulate a limited range of possible choices and a limited range of goods and values respectively that, per definition, are not susceptible to any extension or variation of a different kind (see Hua XXVIII, 133f., 145f.).

In order to specify how this actually qualifies the possible results of applying Husserl's imperative and how he, thereby, tries to compensate for a shortcoming he considers fatal to Kant's CI we should take note of his own wording:

> In every choice the better absorbs the good and the best absorbs everything else that is appreciated as practically good. This absorption does not result in an absolute ought but, instead, merely in a relative ought which is not an ought pure and simple but an ought with a certain proviso. Using Kantian terms we should say that thereby we do not gain a "categorical imperative."
>
> What is characteristic of a "categorical imperative"? That it cannot be absorbed. Yet do we know and do we know in advance that there is a

non-absorbable ought for the willing ego in any given case as a good that cannot be surpassed? What we know is that every choice, which takes place within a well-defined practical sphere consisting of a finite amount of options, can operate on the assumption that there is something best if there is something good to be found in the respective field at all. The best may occasionally be ambiguous; we can put up with that. It is an axiom that, given a plurality of equal optima, it is wrong not to choose one of them or that choosing one of it, no matter which one, is right or practically required although only in a relative manner.

Obviously, it is due to a certain lack of definite limitation that any choice whatever is infected with a relativity, i.e., a validity being subject to certain restrictions. Luck will have it that the choosing person turns his volitional interest in a certain direction and that the scope of the options he peers out is of a certain span. He possibly can introduce new practical possibilities, and with every enlargement of the practical sphere the optimum, generally speaking, will change . . . Whatever has been chosen as best, according to the requirements of the practical sphere at issue, should be practically realized with the restriction that enlarging the practical sphere does not result in an absorbing better. For the latter the same may hold true. Whether or not it is possible to formulate a categorical imperative depends on whether or not we succeed in finding a practical sphere of action that is objectively closed and not capable of any enlargement with regard to every moment an ego may be faced with some kind of volitional question. Can this possibly be the case for every single ego? Or is it possible *a priori* for every ego? (Hua XXVIII, 136f.)

What can we take from this? Husserl is well aware of the limited character of his formal imperative. He, too, is well aware of the fact that, according to his approach of formulating practical laws, a CI can only be achieved by acknowledging a rather strong demand of idealization or methodically induced detachment: it is necessary to consider the practical sphere *as if* it were objectively closed, i.e., non-upgradeable. From a Kantian point of view we should add a further necessary condition for achieving a CI within the framework of Husserl's ethics: a CI cannot be achieved unless it can be proved that there are specific values and relations of values whose realization is indispensable for every human life. If the foregoing analysis is correct, the rift between Kantian moral philosophy and Husserl's ethics can be put succinctly as follows. Husserl's so-called "CI" does not represent a moral law, i.e., an unconditioned ought, either because it is a purely formal, maximizing or optimizing law that represents a generally acknowledged

law of prudence[30] or because it is of merely hypothetical nature (as conceived above). In both cases it "does not characterize the nature of obligation as it does for Kant" (Drummond 2002, 28, note 26)[31]

The disagreement between Kant and Husserl concerning the CI manifests itself at a semantic level too. In both cases the terms "categorical" and "hypothetical" refer to a difference with regard to validity. However, it is Kant (and not Husserl) who introduces the issue of validity in terms of *moral* practice. Kant distinguishes categorical and hypothetical demands, among others, by referring to different kinds of purposes agents can commit themselves to. Purposes either can be relative purposes functioning as means to attain some further end or they are final and necessary purposes, i.e., purposes a rational being cannot avoid acknowledging or cannot want not to acknowledge. Accordingly, we have to distinguish hypothetical imperatives whose practical validity and effectiveness depend on the condition that the agent subscribes to some specific material purpose. Or we are concerned with a CI that is not subject to any condition concerning its validity because it manifests a purpose that is *necessarily* co-realized in any kind of material purpose someone may try to achieve. This purpose amounts to the human ability to freely set up purposes (of whatever kind). From this point of view we should say that an autonomous will is the ultimate purpose of volitional acts so far as these acts are effectuated by human beings. In other words: the final and necessary purpose is the moral person, i.e., a human subject endowed with freedom. Or (as Kant articulates it in the so-called "formula of humanity"): the CI amounts to acknowledging humanity as a necessary end.

Within the framework of Husserl's formal practology an agent's individual choices and orientation towards *specific* purposes are methodically ignored (or: overruled), though in a totally different way than can be found in Kant. Since formal practology is a strictly non-egological investigation (see Hua XXVIII, 215), it is not by chance that this approach lacks any moral-practical dimension. Of course, formal laws can be applied. Yet the mere fact that formal eidetic knowledge can be applied in diverse fields does not transform it into a relevant practical knowledge. In case of Husserl's formal practology this application does not require any moral deliberation and does not result in any such deliberation. Instead, it gives rise to what Husserl calls "ethical techniques" (see Hua XXXVII, 6ff., 19ff., 62f.). The non-egological character of formal practology corresponds with the purely theoretical meaning of the terms "categorical" and "hypothetical," referring to different modes of validity ascribed to sentences, i.e., to different logical forms of judgments. On the one hand, the terms "categorical" and "thetic," which Husserl uses synonymously (Hua XXVIII, 214), refer

to states of affairs marked out as real. On the other hand, the term "hypothetical" indicates that something is only *supposed* to be so; that it *perhaps* has the features represented in the relevant judgment. In both cases we are faced with statements (*Aussagen*) instead of imperatives (*Sollensvorschriften*). Consequently, Husserl's formal practology or "formal ethics" is entirely indifferent to the presence or absence of an agent trying to come to a decision, thereby following imperatives. The only concern here is to pin down what is objectively right from a purely theoretical point of view.

According to Husserl, the common ground of a phenomenological ethics and a Kantian ethics is their respective critique of empiricism and psychologism. Yet we have to realize that this critique is elaborated in a thoroughly different way. Formal practology disregards the subjective aspects of choice in order to focus exclusively on objective relations implied in the intentional contents of possible acts of willing. Thereby, the latter are considered as *voluntaristic forms* or *forms of will* analogous to the logical forms within the sphere of judgments (see Hua XXVIII, 37f., 67f.). It is due to restricting oneself to these forms which can be investigated a priori and purely objectively that Husserl's formal practology allows for considering utilitarian concerns as well (see Hua XXVIII, 223).

From the above it is clear that Husserl's so-called "CI" is of a radically non-Kantian spirit. To be sure, it would be hasty and wrong to suppose that the bias towards hypothetical imperatives, which from a Kantian perspective is intrinsic to Husserl's formal practology, indicates an approach to virtue ethics. If we restrict ourselves to the finally achieved results, thereby disregarding the more or less complex lines of reasoning, it may, at first sight, seem that Husserl agrees with Philippa Foot's famous attempt to prove that doing justice to the demands of moral ought does not require a CI at all (Foot 1997a).[32] According to Foot, it rather suffices to endorse hypothetical imperatives. How should we rate this idea from Husserl's point of view? On the one hand, Husserl explicitly sides with Kant with regard to considering a CI to be indispensable. On the other hand, we have ascertained that Husserl's "hypothetical" imperative results from quite specific theoretical presuppositions to which his ethical theory is committed. Foot argues in favor of hypothetical imperatives due to an insufficient understanding of the peculiar character of moral obligation *as compared with social rules*. By contrast with Foot, Husserl's reasoning testifies a clear sense of what can be rightly said to ground a moral obligation. Moreover, he seems to have a clear grasp of the limits of his own methodology.[33] His argumentation never risks to falling prey to a naturalistic fallacy (see Hua XXVIII, 55f., Hua XXXVII, 40–3).

Responding to the specifically objective character of Husserl's basic imperative we can argue: acting in a morally relevant way, i.e., acting morally good *or* morally bad, is possible if and only if the empirically given can be transcended in terms of eidetic structures.[34] Therefore, it is not astonishing that Husserl, with a view to eidetic structures, is ready to appreciate "the valuable content of Kant's demand for a practical law and a categorical imperative" (Hua XXVIII, 138). It is with a view to eidetic structures that Husserl acknowledges the importance of generalization ("that if a subject acts rightly, every other subject ought to act in the same way," Hua XXVIII, 138). In this connection Husserl refers to the fiction of an impartial observer which clearly expresses the strong impact of an attitude of detachment in *ethics I*.[35]

> We act rightly if any impartial observer, putting himself in our position, had to acknowledge our action. We imagine ourselves in the position of the impartial observer if we judge upon the rightness of our own way of acting. The impartial observer here is to be thought as a reasonably judging subject . . . Hence, the difference with regard to the decision (namely the objectively right decision) of different agents is only due to the fact that the actual situation differs from case to case, and must not have any other reasons. Of course, depending on varying practical situations, the same material and formal eidetic laws require different albeit still definite things. (Hua XXVIII, 138f.)[36]

Contrary to Husserl's formal imperative as the highest principle of a formal practology, Kant's CI depends upon the "synthetic" presupposition of a strong (metaphysical) thesis of freedom. From the point of view of the agent we should say, according to Kant, that acting autonomously is possible, however difficult this may be considering the empirical constraints of human actions. It is possible under the condition that freedom is real. Kant's CI represents a specific notion of autonomy. Moral laws are laws of freedom. They cannot be consistently thought unless we take it that the moral person is free in terms of her capacity to initiate actions on her own account. Since freedom according to its metaphysical meaning cannot take place within empirical reality it is obvious that Kant's idea of practical reason is based on the relevant results of his critique of pure reason. This especially refers to his discussion of the *Third Antinomy of Pure Reason*.

For our purpose it may be sufficient to bear in mind that, according to Kant, freedom has to be considered a practical reality although its existence cannot be proved within the framework of theoretical reason. The

crucial point of Kant's argumentation is that we need not dispense with our moral demands on grounds of a lacking proof that freedom really exists. All we require to presume from a practical point of view is that freedom's metaphysical reality is possible, i.e., not necessarily self-contradictory and incompatible with the natural laws that prevail in the realm of empirical reality. Accordingly, Kant maintains that it is only possible to establish a moral law if we acknowledge the distinction between *homo phaenomenon* and *homo noumenon* (see Kant 1948, 111–15, 118f.; 2002, 61f., 73–7, 111f., 123f.), which, of course, does not coincide with Husserl's distinction between *mundane ego* and *pure ego*. The radical difference between these two distinctions, among other things, refers to the fact that Kant introduces his notions of *homo phaenomenon/noumenon* as a specifically practical distinction that presupposes the reality of freedom. According to Kant, freedom is the *ratio essendi* of the moral law, which, for its part, functions as the *ratio cognoscendi* of freedom. The fact that freedom does not play any role with regard to Husserl's CI is another clear mark of the essentially different issues dealt with under this heading by Husserl and Kant.

As compared with Kant's CI and based on the semantic differences indicated above, Husserl's formal imperative is objective in a rather peculiar sense. We realize the relevant difference if we ask: "What makes a will a morally good will?" According to Kant, we have to refer to the self-related character of human will if it shall be possible to find something that can be said to be unconditionally good (in moral terms). According to Husserl, a volitional act cannot be endowed with moral goodness unless it is committed to specific values. In this sense we may say: Kant's explanation represents a formal and subjective style of reasoning which focuses on a specific attitude towards the act of volition and the agent respectively. Husserl's explanation is of a material and objective stamp. It relies on a specific attitude towards a system of values whose material and hierarchical structure are said not to be engendered by subjective acts, although it is admitted that these moments could not be discovered and analyzed if it were altogether impossible to enter into ("subjective") relations to the value system in question.

With regard to the eidetic laws that refer to a hierarchically structured sphere of values, we may recognize that Husserl's idea of practical reason is connected to an idea of autonomy too, albeit in a thoroughly non-Kantian way. According to Husserl, autonomy can be ascribed to the pure ego insofar as it is able to effectuate eidetic variations and attain eidetic knowledge. Again, this is not a specific feature of practical reason. The same can be said about theoretical reason. For both theoretical and practical contexts Husserl holds that an eidetic law can be known as absolutely valid only due to

the fact that I can function as a pure ego (See Hua XXXVII, 134f.). Eidetic knowledge represents a specific realization of the idea that it is possible to go beyond the individual ("partial") point of view. Therefore we can argue that Husserl's phenomenological concept of autonomy is based on a specific idea of detachment. But what about you and me, what about the individual agent entangled in multifarious social and moral relations with her fellows? Am I autonomous with regard to my particular ways of acting and living? Do I have to strive for impartiality and autonomy, according to Husserl's or Kant's or someone else's view, if I shall be able to act morally? Can I ever succeed in acting and living in a completely autonomous and impartial manner? What would that be like? And finally: why should I try to do so?

Both Husserl and Kant, albeit in different manner and interpretation, hold that impartiality is the basis of our moral point of view (see Rinofner-Kreidl 2009). Following this view, two lines of reasoning suggest themselves with regard to Husserl's ethics. We can either try to elaborate conjectural moral implications inherent in the phenomenological methodology (see Hart 1992, 17–76).[37] Or we can attempt to figure out the peculiar character of *practical* impartiality conceived of in phenomenological terms. Concerning the latter we may tentatively argue that it is a specific and essential incompleteness which marks the starting point of Husserl's ethical reflection. Our practical impartiality necessarily remains incomplete due to the fact that material a priori statements in the practical sphere, finally, refer to a highest good functioning as a *telos* of my individual life and, presumably, of every other human life. This idea of a good life cannot be proved or made plausible by means of Husserl's CI or otherwise within the theoretical framework of his ethics.[38]

Notes

[1] An alternative translation for *formale Praktik*, instead of "practology," would be "praxeology." Since the latter term, in my view, might suggest an affinity to pragmatic ideas, I prefer the first one. "Practology" is more unfamiliar but less liable to misunderstandings.

[2] By no means do I want to deny that Kantian Ethics implies teleological moments. See Paton 1962, Chapters XV and XVI, Korsgaard 1996, 87–132, Baron 1997. Notwithstanding this suitable reminder, it is important to distinguish, on the one hand, predominantly and straightforwardly teleological approaches to ethical theory and, on the other hand, teleological moments that are embedded in theoretical structures of a different kind and that, consequently, are subject to specific and considerable constraints (e.g., in the case at issue: by conditions laid down in the Categorical Imperative).

[3] Capital letters ("Categorical Imperative") are meant to indicate that we refer to the specific formulations of this idea in Kant's and Husserl's philosophy. For the sake of brevity I shall use "CI" when talking about their notions of a categorical imperative.

[4] See: "So act that the maxim of your will could always hold at the same time as a principle of a universal legislation." (Kant 2002, 45)

[5] The translations from Husserl's ethical writings are mine.

[6] Husserl closely follows Brentano here. See Brentano 1955, 14–16, 51f. and 1952, 33–86.

[7] See ". . . Kant does not provide a guide for determining the appropriate maxim that should be subjected to the categorical imperative. Almost any action can be claimed to be based on a maxim that one would universalize . . . Kant . . . never provides a list of morally relevant features that determine the kind of action that one must test for universalizability. Kant neglects the first stage of moral reasoning, determining the kind of action, and concentrates on the second stage, determining the universalizability of the maxim. He provides no guide for determining what features must be included in the maxim to which the categorical imperative is to be applied" (Gert 1998, 305). Whereas Gert takes it for granted that this is a serious flaw in Kant's theory others convincingly argued that selecting and adequately formulating the relevant purposes ("maxims") cannot be part of the regular function of the CI. Instead, it requires what Kant calls *Urteilskraft*, namely a context-sensible power of judgment. See Baron 1997, 65, 74f.; Höffe 1977, 262ff.; Höffe 1990, 542ff.

[8] Suppose that we can imagine some unusual and bizarre situations in which the above purpose ("Every morning when I wake up . . .") would represent a maxim. This, nonetheless, does not invalidate the distinction between (irrelevant) intentions and (indifferent) maxims. It only shows that maxims cannot be specified without referring to particular types of situations. This, by no means, is at odds with Kant's notion of a maxim.

[9] Contrary to other moral philosophers Kant acknowledges *adiaphora, i.e., morally indifferent maxims*. See Kant 1991, Introduction, Section IV [AB 21, 22]. See Patzig 1983b, 161f. On Husserl's peculiar way of including adiaphora in his considerations see Hua XXVIII, 134f. For a detailed discussion on the distinction between morally permissible (*zulässiger; freigestellter*), morally required (*geboten*) and morally forbidden (*verboten*) maxims in Kant's moral philosophy see Ebert 1976. The above supplement "to a maximal extent," of course, refers to Kant's distinction between *perfect* and *imperfect duties*. See Kant 1991, 190–7.

[10] I take it that paying due attention to the difference between morally irrelevant intentions and maxims, at least to a certain extent, contributes to (dis)solving the problem of " 'false positives' and 'false negatives': instances where a contradiction appears yet the maxim [according to our common sense moral intuitions, SR] seems clearly to be permissible, and instances where no contradiction is detected, yet the maxim seems clearly to be unacceptable." (Baron 1997, 71)

[11] Given that, on a worldwide market community, meat is among those goods that are scarce, we can well imagine a world in which the intention to eat roast veal whenever it is present and one is hungry, would not pass the universalization test. (Our actual world is among those possible worlds.) However, this is not relevant

here since the CI is not meant to test the universalizability of arbitrary intentions.

[12] Here, we do not dwell on the issue that, according to Kant, the CI is not expected to discover maxims but to decide whether a *given* maxim is morally permissible. In the following we refer to other aspects of the so-called formalism of Kant's CI.

[13] See: "If a rational being is to think of his maxims as practical universal laws, then he can think of them only as principles that contain the determining basis of the will not by their matter but merely by their form" (Kant 2002, 40, Theorem III).

[14] In this context we cannot enter the discussion on moral luck. I take it that those who consider this issue to be suited to overthrow thoroughly our idea of morality do not agree with the above assertion. Bernard Williams and others would argue that it is a sweeping illusion to hold that it is entirely up to me whether I am able to grasp cognitively what consistency requires or why consistency should matter at all or whether I can manage to keep up practically a maxim I have chosen due to consistency requirements.

[15] I consider "occasional reasons" to refer to circumstances that are beyond the agent's control. It is obvious that, from time to time, we do not keep our promises due to bad (moral) luck. Yet this does not interfere with Kant's reasoning since the latter is exclusively concerned with the consistency or inconsistency of our volitional intentions. See previous note.

[16] To be sure, the example of giving promises as outlined in the *Groundwork* has been controversially discussed due to the terseness of Kant's own explanations. See Paton 1962, 182–4, Ebbinghaus 1968c, 145–7, Höffe 2000a.

[17] For a more detailed reconstruction of Kant's argument see Höffe 1977 and 2000a, 224ff.

[18] There is another example Husserl uses in the same text in order to show that Kant's CI results in thoroughly immoral prescriptions: If I negatively answer the question "Am I allowed to take a bribe?" and imagine this to be a general rule, then, according to Husserl, "nobody will try to give bribes any more; consequently, the law would be without application. The maxim is immoral; holding in esteem the categorical imperative requires to take bribes" (Hua XXVIII, 416). In order to become clear about this argument we have to make explicit the maxim that is expected to be tested. We can express it as follows: "Whenever there arises an opportunity to manipulate official (juridicial, bureaucratic and other) procedures, I shall give bribes in order to influence these procedures in favor of my own interest." Now I should ask whether this maxim would be self-defeating were I to decide to adopt it as a universal moral principle. It would be self-defeating indeed. This is obvious as soon as we take into account the purpose that is expected to be realized. Whenever I give a bribe my purpose is to gain an advantage that is formally unjustified and that I could not gain if everyone else would follow the same practice. Realizing the specific purpose involved in giving bribes requires that a considerable amount of other persons passes through the relating institutional procedures in a correct way, i.e., does not give bribes. What does that mean? If it were a general practice to give bribes, it would be impossible to be successful in doing so, namely to reach the relevant aim. In other words: it is contradictory to expect there being just and transparent procedures with a view to all states of affairs touching upon the distribution of public money and usufruct

of any kind and, nonetheless, being ready to violate this rule as soon as one's own interest is at stake. Since the above maxim unavoidably undermines just and transparent procedures in case that it is universally acknowledged, adopting this maxim amounts to willing *and* not willing that just and transparent procedures should be established with regard to the relevant public affairs. See Singer 1975, 320–6, 334–7.

[19] The above refers to Kant's distinction between *acting in conformity with duty* and *acting from duty*, i.e., from respect for the law. See Kant 2002, 94ff. (*On the Incentives of Pure Practical Reason*), especially 105.

[20] This might be another negative agreement holding between Husserl and virtue ethics. Some prominent virtue ethicists strongly give the impression that their animadversion on laws in moral contexts is due to a poor understanding of Kant's moral philosophy. See, for example, Anscombe 1997.

[21] See Ebbinghaus 1968b, Paton 1962, 77–82 and, focusing on broader issues, Jaspers 1989, 481–501, 584–611.

[22] See Brentano 1952, 211–25, 303–12; 1955, 15f., 24–31, 53, 112–15.

[23] See also Hua XXVIII, 126–53. For reasons not to be discussed here Brentano holds that this law should be interpreted negatively: "Never choose the less good among the attainable" (Brentano 1952, 307, my translation). Husserl, on his part, mentions that it would be wrong to choose something less good if there were some better thing attainable in the concrete situation (*wo ein Besseres im Wahlkreis liegt*, Hua XXVIII, 133). Contrary to Husserl, Brentano does not hesitate to introduce this *Sittengesetz* as a principle of utility that prescribes to realize the greatest amount of happiness for the greatest amount of people. This principle is said to be akin to Christian ethics (Brentano 1952, 223). Husserl occasionally considers the utility view since this is part of the idea of a relative best. In this context we are told that a will that is directed to an unrealizable state of affair is unreasonable in a more fundamental sense than a will that is directed to something realizable though morally bad. This is due to the fact that the latter could be transformed into a good will if the realization of the bad gave rise to eminently good consequences. See Hua XXVIII, 219.

[24] This, again, is part of Brentano's legacy. See Brentano 1952, 134–46; 1955, 16–23.

[25] For a discussion of this idea of foundation and its implications, e.g., with a view to the distinction between objectifying and non-objectifying acts, see Melle 1988.

[26] In order to delimitate this complex project of analyzing intentional structures as well as objective structures from Kant's moral philosophy, Husserl talks about an "ethics from below." See Hua XXVIII, 414.

[27] See Hua XXVIII, 36–101, 126–53; Hua XXXVII, 3–32.

[28] I take it that Husserl did not sufficiently and adequately explain this specific interaction.

[29] See Hua XXVIII, 220ff. and Husserl's comments on the accumulation effect (*Summationswirkung*) in Hua XXVIII, 90–101, 130ff., e.g. ". . . wherever the intentional realization of a lower value prevents the realization of a higher value, the latter being within the scope of choice itself, willing and implementing the less valuable is not only less valuable but, instead, of negative value" (Hua XXVIII, 132). What it means to do the best among the attainable can be spelled out in

different ways since the formal relations holding between different goods, different values and different relations between goods and values are of complex nature. The point I am interested in here is primarily the hypothetical character of the whole formula.

[30] Relating to Husserl's conception of maximizing impersonal formal rightness and impersonal values we may suppose that Husserl is strongly affected by an objection usually raised against Kant's ethics, namely that its adherence to impartiality has serious negative effects. See Baron 2007.

[31] Since Husserl's CI is indifferent with regard to moral obligation, it cannot be expected to link up Kant's and Brentano's relating ideas as has been recently promised. See Trincia 2007, 173f.

[32] In the present context we need not dwell on the fact that Foot later on retracted this approach. See Foot 1997a, 322 ("Recantation 1994") and Foot 2001, 60–5. The author comments on her former view as follows: "My point . . . was, of course, to insist that the rationality of moral action was not in any way to be bolstered up by the fact that the 'shoulds' they contained were independent of an agent's interests or desires. And (intransigently) I suggested that until the matter was otherwise demonstrated, we should say that only interests or desires could give practical rationality to moral action" (Foot 2001, 60). Later on Foot deems it necessary as well as possible "to show the rationality of acting, even against desire and self-interest, on a demand of morality" (63). To be sure, this approach is based on a conception of natural normativity which is at odds with both Kant's and Husserl's idea of practical reason.

[33] See Hua XXVIII, 216f. (on the difference between a *summum bonum formaliter spectatum* and a *summum bonum materialiter spectatum*).

[34] On Husserl's critique of Kant's (allegedly) subjective a priori, see Rinofner-Kreidl 2000, 131–59, 210–35.

[35] It goes without saying that this attitude is incompatible with the idea of moral particularity that nowadays is advocated by many ethicists.

[36] See Hua XXVIII, 146f.

[37] It has been occasionally suggested that this is a way to compensate for the meager results of Husserl's ethics. See Cobet 2003, xi.

[38] I am grateful to the participants of the 38th International Husserl Circle Conference (Marquette University, Milwaukee, June 26–29, 2008), especially to my commentator, Thane Naberhaus, for helpful comments. My considerations were further encouraged by an equally rich discussion at the workshop "*Handlungstheorie und Phänomenologie*" (University of Cologne, November 24, 2008) where I presented a German version of this essay.

Chapter 13

Husserl and Rawls: Two Attempts to Free Moral Imperatives from Their Empirical Origin

Margaret Steele

In this chapter, I use Edmund Husserl's phenomenological reduction, broadly understood, as a means to interpret and criticize John Rawls' original position. In the first part of the chapter, I draw certain comparisons between the goals and procedures of the reduction and those of the original position. In the second part of the chapter, I highlight problems associated with what I claim is an attempt to apply the reduction to the ethical sphere. I argue that Rawls' attempt to combine the Kantian and the Humean in this way is unsuccessful. Finally, I point out the quite different manner in which Husserl himself approached ethics.

My primary focus is on Husserl's views on ethics. However, I will not extensively examine the content of his views, but will rather take a meta-ethical position and try to circumscribe his general approach to ethics. In order to do so, it seems useful to me to appeal to John Rawls. Although I do not claim any filiation between their views, I see several instructive commonalities between them. Both Husserl and Rawls are concerned with combining what they see as best in Kant and in Hume. On the face of it, at least, it would seem that they each want to take different ideas from Kant. Husserl's transcendental reduction can be seen as arising out of Kant's transcendental idealism. Rawls, for his part, is more concerned with achieving in the political sphere what Kant's Categorical Imperative promised in the ethical sphere. That said, both Husserl and Rawls, in their different ways, are committed to gaining the kind of unswerving certainty, based on laws of thought (and perception), for which Kant also aimed. Although they differ somewhat with regard to Kant, they agree, broadly speaking, on what is valuable in Hume's rigorous empiricism. Both Husserl and Rawls recognize the limitations of Kant's formalism, especially when it comes to its applicability to the human situation in which we find ourselves. They both

recognize the importance of situating one's ethico-political philosophy in the world. Thus, both the political philosophy of Rawls and the ethical philosophy of Husserl can be viewed as attempts to find Kantian imperatives in the empirical, Humean world. In the course of this chapter, I will claim that, in this respect, Husserl is more successful than Rawls.

The Original Position and the Reduction: Procedures and Goals

Husserl devoted much of his life to trying to uncover this elusive Kant/Hume balance in the realm of method and to show how such a method could be applied in every sphere of philosophy. The most significant methodological result was the reduction, which appears in many and various forms throughout his work, from its first instantiation in his 1905 work *The Idea of Phenomenology*, to the transcendental reduction that first appears in *Ideas I*, to the genetic phenomenology of *Experience and Judgment*.

Rawls' attempt to combine Humean and Kantian methodology is instantiated in his account of what Rawls terms the *original position*. If the Kantian and Humean perspectives are to be reconciled, what is required, according to Rawls, is an Archimedean point (Rawls 1971, 511) that is fixed, as is Kant's Categorical Imperative, but that is, so to speak, capable of moving the world. The original position is Rawls' version of what previous political philosophers called the state of nature. That is, it is an attempt to represent the situation of persons prior to their engagement in any kind of state. The original position is not, however, meant to represent any real, historical situation. It is, rather, a thought experiment, though I will argue that this description of the original position is somewhat inadequate. Rawls' notion of justice as fairness is an ideal theory, and the original position is thus an ideal position. It is the *best* place from which we *could* start, not the place from which we *do* start.

Rawls formulates two principles of justice. In one of his last works, *Justice as Fairness*, Rawls states the two principles as follows:

(a) Each person has the same indefeasible claim to a fully adequate scheme of equal basic liberties, which scheme is compatible with the same scheme of liberties for all; and
(b) Social and economic inequalities are to satisfy two conditions: first, they are to be attached to offices and positions open to all under conditions of fair equality of opportunity; and second, they are to

> be to the greatest benefit of the least-advantaged members of society (the difference principle). (Rawls 2001, 42)

Rawls' political philosophy as a whole can be viewed as one long, sustained case for the implementation of some version of these two principles. The original position is a central part of this case. In *Justice as Fairness*, Rawls characterizes the original position as follows:

> I use the original position as a natural and vivid way to convey the kind of reasoning the parties [who have been given the task of choosing principles of justice] may engage in . . . It is a device of representation modeling reasonable constraints that limit the reasons that the parties . . . may appeal to. Is [it] a general assembly which includes at one moment everyone who lives at one time? No. Is it a gathering of all actual or possible persons? Plainly not. Can we enter it, so to speak, and if so when? We can enter it at any time. How? Simply by reasoning in accordance with the modeled constraints, citing only reasons those constraints allow. (Rawls 2001, 86)

What are the constraints within which we must reason, if we are to enter the original position? In the original position, Rawls' describes the parties as being behind a "veil of ignorance" and this veil of ignorance represents one of the major constraints to deliberations about justice. The veil of ignorance is the stipulation that parties in the original position will not have access to all information about themselves; for example, they will not know their own socio-economic status, their race, their gender or even their own conception of the good. Rawls claims that, if one did not know all these things about oneself, that is, if one could relinquish the biases of one's own social standing, one would be in a position to be fair to everyone. Thus, the deliberators in the original position cannot appeal to any of these facts either as bargaining chips or as evidence for the relative merit of some principle or other.

In effect, Rawls believes that, in order to enter the original position, we must bracket the particulars of our own situation. The very language of "entering" a certain position, as opposed to merely thinking about it or even imagining it, suggests that we are dealing with more than a mere thought experiment here. I claim, in fact, that we are dealing with something that wants to be a reduction. Let me turn now to what this would mean.

Husserl's goal was to offer a purely descriptive science, which did not begin by making any metaphysical assumptions, but which examined all

the assumptions that even the most careful scientists take for granted, for example, the assumption that there is a real world that exists external to and independent of consciousness. In order to undergo the reduction, one first brackets all such assumptions about the "reality" of the world or of one's own objects. One thus effects the shift in attitude, from the natural to the phenomenological attitude (Husserl 1983, 141/Hua III/1, 118). For Husserl, this shift in attitude opens up a field of experience which includes physical objects as well as ideal objects. This bracketing shift Husserl calls the epoché. Once one has undergone the epoché, one can then begin to re-duce, that is, to follow back to what is given. Ultimately, once one has undergone the epoché, the process of reduction becomes possible, and it is in the process of reduction that the underlying structures of consciousness can come to the fore, as the conditions for the possibility of the experience under scrutiny. The goal is to answer the question, "What must I be like, and what must the world be like, such that the world seems this way to me?" In this simple explanation, I try to draw together what I see as key features of many different reductions and paths to the reduction pursued by Husserl. I do not mean to downplay the significant differences between Husserl's various formulations of the method. If I seem to suggest that all reductions are, in some sense, equal, I do not deny that some might legitimately be called more equal than others. Here, I treat the reduction primarily, and, I think, legitimately, as a method of accessing a better point of view from which one can critically experience the world.

I think that Rawls' original position can be understood as methodologically similar to Husserl's reduction in a number of ways. The original position is like a reduction in that it begins with what we might, in Husserlian terms, call a "bracketing" of non-essential information that might arise from or give rise to unjustified metaphysical beliefs. To "bracket" here means to put out of action certain beliefs, to refrain from positing on the basis of those beliefs. Thus, to bracket my social standing is not to assume that I do not have that social standing; bracketing is not negation. Rather, to bracket my social standing is to refrain from taking it as a premise in any argument, to refrain from taking it into account in my deliberation. When I refrain from taking into account that which is contingent, I am left with an experience that can, in principle, be shared by any subject whatsoever. To execute correctly a Husserlian reduction, one must first effectively make oneself into the purest form possible of constituter, what we might call, in Husserl's terms, pure noesis (Hua III/1 180; Husserl 1983, 212). What is constituted by pure noesis could not be otherwise. The principles that appear fair and rational to such a purified subject must, in fact, be fair and

rational. It would not matter a whit that no other subject ever attempted to repeat the experiment. The original position aims to have us behave as presuppositionless deliberators, even though it simultaneously acknowledges that we are not, in fact, without presuppositions and commitments. In *The Crisis of European Sciences and Transcendental Phenomenology*, from the point of view of understanding the reduction in one of his richest works, Husserl says that, included in the reduction of the world is the "reduction of mankind to the phenomenon 'mankind'" (Husserl 1986, 153). In other words, the reduction will allow us to make judgments about all persons and their experiences. It does not matter who undergoes the reduction. It is the same consciousness that is revealed.

And such is also the hope of Rawls for his original position. Behind the veil of ignorance, we are all the same. It does not matter who is behind the veil of ignorance, since, once we bracket out all that is, in Rawls' terms, "arbitrary from a moral point of view," we are left only with the bare essence of a political subject, just as Husserl's epoché reveals the essence of a conscious subject. Behind the veil of ignorance, there is no scope for bargaining or for forming alliances because the parties have no access to information that would let them know which bargains and which alliances would be to their benefit (Rawls 1971, 120–1). Husserl stresses that the world is not "lost" in the epoché. We do not become blind to the world we were used to experiencing in the natural attitude. Rather, we shift our attention to a different aspect of that world, look at it from a new point of view, as it were. Similarly for Rawls, the subjects behind the veil of ignorance are portrayed as being in an epistemically privileged position, not an epistemically weak position. Under normal circumstances, Rawls says, ". . . [our] knowledge is incomplete, [our] powers of reasoning, memory and attention are always limited, and [our] judgment is likely to be distorted by anxiety, bias and a preoccupation with [our] own affairs" (1970, 110). The veil of ignorance may act as a constraint, but it is not an *epistemic* constraint. For the purposes of assessing the two principles, we know more—and better—behind the veil than we do prior to entering the original position.

Despite the similarities, there are some clear contrasts between Rawls' original position and Husserl's reduction, and it is to these that I now turn my attention. The first, and, perhaps most obvious, point of contrast between Rawls' original position and Husserl's reductions is the following: Husserl repeatedly characterizes the reductions as methodological procedures and staunchly resists any attempt to characterize them as mere thought experiments. Rawls, for his part, regards his original position as, precisely, a thought experiment. While acknowledging this difference

between the original position and the reduction, I contend that the goal of Rawls' thought experiment exceeds the scope of what is typically intended in a thought experiment and appeals to a broad range of experience. If this is indeed a thought experiment, it is a thought experiment with attitude.

Typically, a thought experiment is designed to induce a particular thought process or pattern in the experimenter. Husserl rejects any comparison between the reduction and a thought experiment, because his goal in describing the reduction is not to make his readers think anything in particular, but rather to give his readers a key with which to open up a new field of experience. If Rawls were an unwavering Kantian, devoted to the possibility of pure, formal ethics, then there would be no room for comparison, because Rawls' original position would appeal solely and purely to human rationality and there would be no need for any kind of empirical experience. But this is not the case. Rawls wants to preserve the categorical nature of Kant's ethical imperative, but he also wants to gain more traction in the empirical ethico-political sphere where we find the basic structures of society. Ultimately, Rawls needs his readers not only to *think* about his two principles of justice in the abstract, but also to think again about how they would work if applied. The question is not simply, "*Should one* want to live under these principles?" The whole point of the original position is to put the participant in a position where she can simply ask, *Do I* want to live under these principles? The goal is not simply to expose logical contradictions in the principles, as it would be if this was simply a case of Kantian universalization, for example. Subjects behind the veil must also consider how they would respond emotionally to the principles, how the principles correspond to their basic intuitions about what seems right, and so on. While his original position is by no means a method in the same way that Husserl's reductions are methods, the original position is thus not a totally abstract thought experiment either. Rawls' concern is with the real Earth, not with some fantastical Twin Earth. In the sense that it does aim, partly, to open readers up to a certain sphere of experience, the original position is closer to the reduction than many other thought experiments would be.

Another point of contrast between the reductions and the original position is that Husserl expressly addresses the topic of ethics, whereas, for much of his career, Rawls insisted that he was *not* doing ethics in any strong sense. Consistent with the liberal tradition of which he was part, Rawls claimed that one could uphold an ideal of fairness, and therefore an ideal of justice, without committing oneself to any particular strong conception of the good, that is, without committing oneself to strive for any particular

end state for society. In Rawls' terms, Rawls has only a thin theory of the good, whereas Husserl has a thick conception of the good. For, when Husserl applies himself to ethics, he clearly seems to have in mind a particular kind of society, with a particular shared conception of the good.

I address this difference between Husserl and Rawls in two ways. First, although Husserl does indeed address the issue of ethics, his ideal of the rational individual is such that he shares Rawls' desire to maintain some considerable scope for the autonomy of the individual. Second, I claim that, whether Rawls wants to do ethics or not, his theory has ethical import. Rawls' lack of emphasis on the ethical significance of his theory was born of his accepting the liberal distinction between the right and the good (Rawls 1971, 392–6; 2001, 81–82). If one accepts this distinction, the right is understood as pertaining to the basic structures of society, where fairness is the most important criterion. The right is understood in contradistinction to the good, which represents a commitment to some idealized, teleological end state in which certain strong values are instantiated in and for all people. Following in the footsteps of Kant, Rawls and many other liberals insist that the basic structures of society should be designed in such a way as to maximize the scope for autonomy on the part of the individual. Rawls, like Kant, sees the contradictory nature of the idea that one could force another to be moral. One can, however, organize society in such a way that one instantiates rational laws to which all autonomous beings would assent. This, Rawls would claim, is promoting the right, without endorsing any particular conception of the good.

My response to this claim is simply to reject this distinction between the right and the good. I can only conceive of something right if it is right in view of some good to which it is supposed to be conducive and I cannot conceive of any good that does not require us to strive rightly when we strive for it (although, of course, what is understood as "right" will vary depending on the good at which one aims). To Rawls' claim to the contrary I respond that, insofar as he is concerned with the right, he is making claims about the good, whether he wants to be or not, and therefore, he is doing ethics.

Rawls' Mistake, Husserl's Achievement?

If Rawls had managed to design a reduction that was genuinely presuppositionless, but that disclosed ethical and political truths, he would have

accomplished something very great indeed. He would, in fact, have solved the age old fact-value problem, because he would have shown, or come very close to showing, how an "ought" can be derived from an "is." However, I claim that, although Rawls' original position is very like a reduction and, perhaps, wants to be a reduction, it is not yet one. This is partly because Rawls does use certain presuppositions. Some of these presuppositions are values.

Rawls does not want any particular life way to be favored in the basic structures of society. This is because he, a good Kantian at heart, believes that persons flourish precisely by making autonomous choices to the greatest extent possible. It is in choosing my ends that I assert and, indeed, realize, my personhood. Thus, when it comes to choosing the basic structures of society, Rawls recognizes that the choice has ethical import, but he does not want to go so far as to have the deliberators choose to endorse any one conception of the good. This would defeat his purpose, which is to build a society in which persons are free to be persons to the greatest extent possible.

In one sense, it seems that Rawls is seeking the conditions for the possibility of the good life, whatever form or forms it may prove to take. If the veil of ignorance is comparable to Husserl's epoché, the deliberation over different possible principles of justice is comparable to the reduction. Having left behind their metaphysical and personal commitments, the subjects behind the veil of ignorance can answer a new kind of question: how must I be and how must the world be in order for what is right and fair to appear right and fair to me? As mentioned above, ethics has always, and especially since Hume, struggled with the problem of how to derive an "ought" from an "is," or to derive values from facts. But Rawls thinks that, given certain constraints, given a certain point of view, as it were, it is possible to view what is in such a way that it discloses what ought to be. In order for this view to disclose the "ought" required by Rawls, however, certain assumptions must be allowed to come back into play. Rawls wants to eliminate as many assumptions as possible, but he cannot eliminate all assumptions.

For one thing, he must assume certain things about the political subject. The political subject in the original position is aware of the fact that he lives in a particular kind of society, a liberal democracy, say. If he is to get normative traction for his two principles, Rawls cannot really be as presuppositionless as he would like. In particular, it emerges that Rawls' deliberators cannot really rely on reason alone to help them recognize those principles of justice to which they should give their assent. This is because

recognition of the right principles involves intuition of values, and reason is not the right faculty with which to "see" values. This is part of a big and long-running problem in ethics and political philosophy. As I noted at the outset of this chapter, Husserl and Rawls share a desire to combine Kantian certainty with Humean empiricism. As is so often the case in ethics, this desire is difficult to satisfy. Where one finds a Categorical Imperative, one will almost inevitably find examples in which its application would bring about results that seem intuitively undesirable. On the other hand, when one thinks about the results that intuitively seem desirable in a situation, it is not always clear how any universal rule could be formed on their basis. The danger of a slide into dogmatism, on the one hand, or relativism, on the other, is ever present.

Rawls tries but fails to accomplish something like an ethical reduction because he has to include certain assumptions that would not be acceptable in a reduction. Given this reading, it might seem that one possible solution is to take up Rawls' project and attempt to do a genuine reduction in the ethico-political sphere. However, I believe that this is not possible. Husserl, who clearly regarded the reduction as among his most crucial methodological advances, does speak of an ethical epoché, but, to my knowledge, he does not attempt a reduction in the sphere of ethics. I believe that, if he did indeed avoid making this move, he was quite right, and I further believe that, had he tried to make such a move, he would have run into some of the problems faced by Rawls, as discussed above.

Throughout the development of his ethical thought, it was clear to Husserl that, in order to reveal normative truths, we must view the world from the ethical or moral perspective, in a valuing attitude, as it were. There is, however, no universal valuing attitude that holds for all of mankind—or, if there is, we have yet to understand how one enters it. If we knew how to access this attitude, ethics would not be the intractable problem that it is. Rather, ethics is always situated. What is right is not right *simpliciter*, but is right in view of some good. And that good must itself be realized in experience and action. None of this is to concede that there is *no* good, or that the good itself is relative. In line with phenomenological best practice, these are epistemological and not metaphysical claims. The status of the good remains to be discovered. But it will not be discovered by means of a reduction, because in a reduction, we bracket precisely that point of view to which the good is available.

Rawls has frequently been criticized by political philosophers who regard his theory as excessively formal. Many believe that he does not manage to achieve the balance he sought between the philosophies of Kant and Hume.

Many writers have criticized the two principles themselves, but many writers have also criticized the assumptions Rawls relies on in justifying the two principles. Rawls' theories of the person, of justice, of fairness and of politics have all come under attack. While anyone who is so widely criticized will inevitably attract some unfair or unreasoned attacks, it remains the case that there are serious problems in Rawls' political philosophy, and it is important that these problems be highlighted and discussed.

Ultimately, the problem faced by Rawls is the problem faced by all ethicists, and one certainly faced by Husserl in the latter's ethical writings. It is the old problem of how one derives certain moral principles from an uncertain empirical world. In the terms of both Rawls and Husserl, the problem is the seeming impossibility of following the impulses of both Kant and Hume even where both sets of impulses seem to deserve to be followed. For Kant, the only thing that can ever be good in itself is the good will, and the will is rational. Ethics is thus, first, last and always, about reason. But, for Hume, reason is and must always be the slave of the passions. Rawls is not successful in reconciling these two claims. Husserl faces a similar struggle, though, perhaps, with more a fruitful outcome, further examination of which may be instructive for political and ethical philosophy.

For Husserl, as Melle puts it, ". . . the foundation of ethics on the acts of the heart and the will does not compromise the objectivity of values and the ideal validity of ethical principles" (Melle 2002, 231). Thus, for Husserl, it is true that it is in feeling and willing that we experience values, but that does not mean that each of us makes up her own values. Just as one may be right or wrong, better or worse, in one's perception of a physical thing, one may also have a better or less good experience of a value. Our valuing acts have, for the early Husserl, their own logic. Indeed, in his earlier ethics, Husserl, drawing on Brentano's ethics, offers what Husserl believes to be a categorical imperative, "Do the best that is attainable!" (Melle 2002, 236). But, as Melle notes, Husserl comes to deeply question this categorical imperative when faced with what he (Husserl) calls "the problem of love" (2002, 238).

I contend that both Husserl and Rawls struggled with this "problem of love," though Rawls did not call it that, or even expressly acknowledge it as a problem. Faced with the Lockean proviso that, in taking possession of resources, one must leave enough as good for others, Rawls must tweak the original position so that the rational beings who deliberate in it will also be concerned with intergenerational justice. In short, justice as fairness requires that we are also fair to those who will live after us. Rawls makes two stipulations that he hopes will result in intergenerational justice. First,

he suggests that parties in the original position might be encouraged to choose principles that they would wish had also been chosen by previous generations. So far, so formal.

However, second, Rawls further suggests that the deliberators in the original position should be conceived of as heads of families, so that, by definition, they would be people who owe something—or, feel they owe something—to people in at least one future generation. The reason that we owe (or, feel we owe) a special debt to our own families is because, in short, we care about them. It is not simply, as Rawls might want to claim, that it is rational for us to care about them. If rationality were enough on this point, then Rawls' first solution should be sufficient: we must be fair to future generations, because we cannot universalize any maxim that is *un*fair to future generations. But Rawls seems to recognize that, on its own, this claim may seem controversial and may not stand up. So he appeals to the emotional and social ties of his putative deliberators. In order to understand this part of the experiment, one cannot simply use rational thought. One must also feel. Having driven personal feeling out the front door in the name of formalism, Rawls now tries to let it slip stealthily in the back in the name of empiricism.

The parallel with Husserl here is especially marked, because it was also a scenario involving a parent's care for a child that gave Husserl pause and might have prompted his transition from his earlier, axiological ethics to his later ethics. In Husserl's case, the example was that of a mother, and the problem was that the mother does not—and, even more problematically, *should* not—deliberate between various available possibilities before, or instead of, caring for her child. The example of the mother is the rock on which Husserl saw his supposedly categorical imperative, "Do the best that is attainable!," perish. Melle quotes from Husserl's manuscripts, "Should the mother first deliberate and make such considerations of the highest possible good? This whole ethics of the highest practical good . . . cannot be the last word!" (Melle 2002, 238). By considering the debts we owe, and feel we owe, to our families, who are usually the persons to whom we feel closest, both Husserl and Rawls come to see the limitations of reason when it comes to dealing with the ethico-political sphere.

However, Rawls can see no alternative to reason. He acknowledges the importance of Hume's empiricism, but he does not want to follow Hume so far as to admit that reason is, and ought to be, the slave of the passions. For Rawls, this would be a slide into ethical relativism, and thus a move away from fairness and justice. For Husserl, however, there is still the possibility that the heart has, as it were, its own logic. In his later ethics, Husserl

certainly emphasizes the importance of rationality. To live a fully rational life is the highest goal of a human being. But Husserl's view of rationality is broader than that of Rawls, or than that of Kant. To be rational is not simply to act on formal principles purely because they are rational. To live the full rational life is, for the later Husserl, to follow one's calling, one's vocation, one's loves, one's conscience, to take up one's place in a social order that is itself ethical. Like many critics of Rawls, Husserl sees ethics as being fundamentally and necessarily social, not just because it is something I do to others, but because it is something *we* do.

There are two ways in which I think Husserl's ethics can be particularly valuable to ethical and political philosophy in this post-Rawlsian age in which we find ourselves. The first way in which Husserl's ethics can be valuable is that he provides one of the most lucid and systematic attempts to lay out the structures underlying what Scheler, perhaps more famously, certainly more vaguely, calls the *ordo amoris*, the order of love. Although he later abandoned the attempt, Husserl's attempt to systematize the logic of the heart merits further critical attention. If there is any merit at all to be found in claims for the existence of an *ordo amoris*, then this may open up a solution to the age old ethical problem that haunts this chapter, as it haunted the subjects of this chapter and so many of their colleagues, past and present. If values are given in or with objects, then it may be the case that we do not need to derive an "ought" from an "is," so to speak, because it may be the case that the "ought" is already in the "is."

Whether or not this is actually the case is a difficult problem. We may indeed be a long time answering such a question, if it can be answered at all. We might even need to agree on some kind of "placeholder" ethical guidelines to use until, as it were, the real thing comes along. Rawls and his liberal fellows distinguished the right from the good at least partly because they wanted to keep some moral standards in play even while recognizing that the ultimate good of human life is and, perhaps, must always remain, a matter for discourse and disagreement. Too often, however, the Rawlsian liberal tradition becomes content to allow its placeholder rules to take on the status of absolute rules. Too often, one gets the sense that the search for the good is no longer regarded as an ongoing project of humanity, but rather as the hobby of certain deluded extremists, communitarians, socialists, religious people and so on.

Here, Husserl again provides an important corrective, and this is the second way in which I think Husserl deserves critical attention from contemporary ethical and political philosophers. Husserl acknowledges that ethics and politics are deeply intertwined, because ethics is a social and, therefore,

at least in a broad sense, a political pursuit. For Husserl, the philosopher has a crucial role in society because the philosopher advances the project of the search for the good. Yet again, the philosopher is, as Husserl puts it in the *Crisis*, the functionary of mankind (1986, 17). How very Husserlian to point out a crisis at the heart of humanity, and then to call not dashing, spontaneous knights errant but rather rigorous, painstaking civil servants to ameliorate it. Rawls and the liberals are quite right that the final good of humanity, if such a thing exists, will not be uncovered in one fell swoop, in one dramatic gesture. But this does not mean that it will never be uncovered at all, or that the philosophical community should not continue to strive, albeit at times in plodding, painstaking fashion, to uncover it. When it comes to ethics and politics, Husserl's unerring faith in philosophy itself is, as always, almost as instructive as his own philosophical ideas.

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