

# I. CAN EMPIRICAL KNOWLEDGE HAVE A FOUNDATION?

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THE idea that empirical knowledge has, and must have, a *foundation* has been a common tenet of most major epistemologists, both past and present. There have been, as we shall see further below, many importantly different variants of this idea. But the common denominator among them, the central thesis of epistemological foundationism as I shall understand it here, is the claim that certain empirical beliefs possess a degree of epistemic justification or warrant which does not depend, inferentially or otherwise, on the justification of other empirical beliefs, but is instead somehow immediate or intrinsic. It is these non-inferentially justified beliefs, the unmoved (or self-moved) movers of the epistemic realm as Chisholm has called them,<sup>1</sup> that constitute the foundation upon which the rest of empirical knowledge is alleged to rest.

In recent years, the most familiar foundationist views have been subjected to severe and continuous attack. But this attack has rarely been aimed directly at the central foundationist thesis itself, and new versions of foundationism have been quick to emerge, often propounded by the erstwhile critics themselves. Thus foundationism has become a philosophical hydra, difficult to come to grips with and seemingly impossible to kill. The purposes of this paper are, first, to distinguish and clarify the main dialectical variants of foundationism, by viewing them as responses to one fundamental problem which is both the main motivation and the primary obstacle for foundationism; and second, as a result of this discussion to offer schematic reasons for doubting whether any version of foundationism is finally acceptable.

The main reason for the impressive durability of foundationism is not any overwhelming plausibility attaching to the main foundationist thesis in itself, but rather the existence of one apparently

decisive argument which seems to rule out all non-skeptical alternatives to foundationism, thereby showing that *some* version of foundationism must be true (on the assumption that skepticism is false). In a recent statement by Quinton, this argument runs as follows:

If any beliefs are to be justified at all, . . . there must be some terminal beliefs that do not owe their . . . credibility to others. For a belief to be justified it is not enough for it to be accepted, let alone merely entertained: there must also be good reason for accepting it. Furthermore, for an inferential belief to be justified the beliefs that support it must be justified themselves. There must, therefore, be a kind of belief that does not owe its justification to the support provided by others. Unless this were so no belief would be justified at all, for to justify any belief would require the antecedent justification of an infinite series of beliefs. The terminal . . . beliefs that are needed to bring the regress of justification to a stop need not be strictly self-evident in the sense that they somehow justify themselves. All that is required is that they should not owe their justification to any other beliefs.<sup>2</sup>

I shall call this argument *the epistemic regress argument*, and the problem which generates it, *the epistemic regress problem*. Since it is this argument which provides the primary rationale and argumentative support for foundationism, a careful examination of it will also constitute an exploration of the foundationist position itself. The main dialectical variants of foundationism can best be understood as differing attempts to solve the regress problem, and the most basic objection to the foundationist approach is that it is doubtful that any of these attempts can succeed. (In this paper, I shall be concerned with the epistemic regress argument and the epistemic regress problem only as they apply to empirical knowledge. It is obvious that an analogous problem arises also for *a priori*

<sup>1</sup> Roderick M. Chisholm, *Theory of Knowledge* (Englewood Cliffs, N.J., 1966), p. 30.

<sup>2</sup> Anthony Quinton, *The Nature of Things* (London, 1973), p. 119. This is an extremely venerable argument, which has played a central role in epistemological discussion at least since Aristotle's statement of it in the *Posterior Analytics*, Book I, ch. 2-3. (Some have found an anticipation of the argument in the *Theaetetus* at 209E-210B, but Plato's worry in that passage appears to be that the proposed definition of knowledge is circular, not that it leads to an infinite regress of justification.)

knowledge, but there it seems likely that the argument would take a different course. In particular, a foundationalist approach might be inescapable in an account of *a priori* knowledge.)

## I

The epistemic regress problem arises directly out of the traditional conception of knowledge as *adequately justified true belief*<sup>3</sup>—whether this be taken as a fully adequate definition of knowledge or, in light of the apparent counter-examples discovered by Gettier,<sup>4</sup> as merely a necessary but not sufficient condition. (I shall assume throughout that the elements of the traditional conception are at least necessary for knowledge.) Now the most natural way to justify a belief is by producing a justificatory argument: belief *A* is justified by citing some other (perhaps conjunctive) belief *B*, from which *A* is inferable in some acceptable way and which is thus offered as a reason for accepting *A*.<sup>5</sup> Call this *inferential justification*. It is clear, as Quinton points out in the passage quoted above, that for *A* to be genuinely justified by virtue of such a justificatory argument, *B* must itself be justified in some fashion; merely being inferable from an unsupported guess or hunch, e.g., would confer no genuine justification upon *A*.

Two further points about inferential justification, as understood here, must be briefly noted. First, the belief in question need not have been *arrived at* as the result of an inference in order to be inferentially justified. This is obvious, since a belief arrived at in some other way (e.g., as a result of wishful thinking) may later come to be maintained

solely because it is now seen to be inferentially justifiable. Second, less obviously, a person for whom a belief is inferentially justified need not have explicitly rehearsed the justificatory argument in question to others or even to himself. It is enough that the inference be available to him if the belief is called into question by others or by himself (where such availability may itself be less than fully explicit) and that the availability of the inference be, in the final analysis, his reason for holding the belief.<sup>6</sup> It seems clear that many beliefs which are quite sufficiently justified to satisfy the justification criterion for knowledge depend for their justification on inferences which have not been explicitly formulated and indeed which could not be explicitly formulated without considerable reflective effort (e.g., my current belief that this is the same piece of paper upon which I was typing yesterday).<sup>7</sup>

Suppose then that belief *A* is (putatively) justified via inference, thus raising the question of how the justifying premise-belief *B* is justified. Here again the answer may be in inferential terms: *B* may be (putatively) justified in virtue of being inferable from some further belief *C*. But then the same question arises about the justification of *C*, and so on, threatening an infinite and apparently vicious regress of epistemic justification. Each belief is justified only if an epistemically prior belief is justified, and that epistemically prior belief is justified only if a still prior belief is justified, etc., with the apparent result that justification can never get started—and hence that there is no justification and no knowledge. The foundationalist claim is that only through the adoption of some version

<sup>3</sup> "Adequately justified" because a belief could be justified to some degree without being sufficiently justified to qualify as knowledge (if true). But it is far from clear just how much justification is needed for adequacy. Virtually all recent epistemologists agree that certainty is not required. But the lottery paradox shows that adequacy cannot be understood merely in terms of some specified level of probability. (For a useful account of the lottery paradox, see Robert Ackermann, *Knowledge and Belief* (Garden City, N.Y., 1972), pp. 39–50.) Armstrong, in *Belief, Truth and Knowledge* (London, 1973), argues that what is required is that one's reasons for the belief be "conclusive," but the precise meaning of this is less than clear. Ultimately, it may be that the concept of knowledge is simply too crude for refined epistemological discussion, so that it may be necessary to speak instead of degrees of belief and corresponding degrees of justification. I shall assume (perhaps controversially) that the proper solution to this problem will not affect the issues to be discussed here, and speak merely of the reasons or justification making the belief *highly likely* to be true, without trying to say exactly what this means.

<sup>4</sup> See Edmund Gettier, "Is Justified True Belief Knowledge?" *Analysis*, vol. 23 (1963), pp. 121–123. Also Ackermann, *op. cit.*, ch. V, and the corresponding references.

<sup>5</sup> For simplicity, I will speak of inference relations as obtaining between beliefs rather than, more accurately, between the propositions which are believed. "Inference" is to be understood here in a very broad sense; any relation between two beliefs which allows one, if accepted, to serve as a good reason for accepting the other will count as inferential.

<sup>6</sup> It is difficult to give precise criteria for when a given reason is *the* reason for a person's holding a belief. G. Harman, in *Thought* (Princeton, 1973), argues that for a person to believe for a given reason is for that reason to *explain* why he holds that belief. But this suggestion, though heuristically useful, hardly yields a usable criterion.

<sup>7</sup> Thus it is a mistake to conceive the regress as a *temporal* regress, as it would be if each justifying argument had to be explicitly given before the belief in question was justified.

of foundationism can this skeptical consequence be avoided.

*Prima facie*, there seem to be only four basic possibilities with regard to the eventual outcome of this potential regress of epistemic justification: (i) the regress might terminate with beliefs for which no justification of any kind is available, even though they were earlier offered as justifying premises; (ii) the regress might proceed infinitely backwards with ever more new premise beliefs being introduced and then themselves requiring justification; (iii) the regress might circle back upon itself, so that at some point beliefs which appeared earlier in the sequence of justifying arguments are appealed to again as premises; (iv) the regress might terminate because beliefs are reached which are justified—unlike those in alternative (i)—but whose justification does not depend inferentially on other empirical beliefs and thus does not raise any further issue of justification with respect to such beliefs.<sup>8</sup> The foundationist opts for the last alternative. His argument is that the other three lead inexorably to the skeptical result, and that the second and third have additional fatal defects as well, so that some version of the fourth, foundationist alternative must be correct (assuming that skepticism is false).

With respect to alternative (i), it seems apparent that the foundationist is correct. If this alternative were correct, empirical knowledge would rest ultimately on beliefs which were, from an epistemic standpoint at least, entirely arbitrary and hence incapable of conferring any genuine justification. What about the other two alternatives?

The argument that alternative (ii) leads to a skeptical outcome has in effect already been sketched in the original formulation of the problem. One who opted for this alternative could hope to avoid skepticism only by claiming that the regress, though infinite, is not vicious; but there seems to be no plausible way to defend such a claim. Moreover, a defense of an infinite regress view as an account of how empirical knowledge is actually justified—

as opposed to how it might in principle be justified—would have to involve the seemingly dubious thesis that an ordinary knower holds a literally infinite number of distinct beliefs. Thus it is not surprising that no important philosopher, with the rather uncertain exception of Peirce,<sup>9</sup> seems to have advocated such a position.

Alternative (iii), the view that justification ultimately moves in a closed curve, has been historically more prominent, albeit often only as a dialectical foil for foundationism. At first glance, this alternative might seem even less attractive than the second. Although the problem of the knower having to have an infinite number of beliefs is no longer present, the regress itself, still infinite, now seems undeniably vicious. For the justification of each of the beliefs which figure in the circle seems now to presuppose *its own* epistemically prior justification: such a belief must, paradoxically, be justified before it can be justified. Advocates of views resembling alternative (iii) have generally tended to respond to this sort of objection by adopting a holistic conception of justification in which the justification of individual beliefs is subordinated to that of the closed systems of beliefs which such a view implies; the property of such systems usually appealed to as a basis for justification is internal *coherence*. Such coherence theories attempt to evade the regress problem by abandoning the view of justification as essentially involving a linear order of dependence (though a non-linear view of justification has never been worked out in detail).<sup>10</sup> Moreover, such a coherence theory of empirical knowledge is subject to a number of other familiar and seemingly decisive objections.<sup>11</sup> Thus alternative (iii) seems unacceptable, leaving only alternative (iv), the foundationist alternative, as apparently viable.

As thus formulated, the epistemic regress argument makes an undeniably persuasive case for foundationism. Like any argument by elimination, however, it cannot be conclusive until the surviving alternative has itself been carefully examined. The

<sup>8</sup> Obviously these views could be combined, with different instances of the regress being handled in different ways. I will not consider such combined views here. In general, they would simply inherit all of the objections pertaining to the simpler views.

<sup>9</sup> Peirce seems to suggest a virtuous regress view in "Questions concerning Certain Faculties Claimed for Man," *Collected Papers V*, pp. 135–155. But the view is presented metaphorically and it is hard to be sure exactly what it comes to or to what extent it bears on the present issue.

<sup>10</sup> The original statement of the non-linear view was by Bernard Bosanquet in *Implication and Linear Inference* (London, 1920). For more recent discussions, see Gilbert Harman, *Thought* (Princeton, 1973); and Nicholas Rescher, "Foundationalism, Coherentism, and the Idea of Cognitive Systematization," *The Journal of Philosophy*, vol. 71 (1974), pp. 695–708.

<sup>11</sup> I have attempted to show how a coherence view might be defended against the most standard of these objections in "The Coherence Theory of Empirical Knowledge," *Philosophical Studies*, vol. 30 (1976), pp. 281–312.

foundationalist position may turn out to be subject to equally serious objections, thus forcing a re-examination of the other alternatives, a search for a further non-skeptical alternative, or conceivably the reluctant acceptance of the skeptical conclusion.<sup>12</sup> In particular, it is not clear on the basis of the argument thus far whether and how foundationalism can itself solve the regress problem; and thus the possibility exists that the epistemic regress argument will prove to be a two-edged sword, as lethal to the foundationalist as it is to his opponents.

## II

The most straightforward interpretation of alternative (iv) leads directly to a view which I will here call *strong foundationalism*. According to strong foundationalism, the foundational beliefs which terminate the regress of justification possess sufficient epistemic warrant, independently of any appeal to inference from (or coherence with) other empirical beliefs, to satisfy the justification condition of knowledge and qualify as acceptable justifying premises for further beliefs. Since the justification of these *basic beliefs*, as they have come to be called, is thus allegedly not dependent on that of any other empirical belief, they are uniquely able to provide secure starting-points for the justification of empirical knowledge and stopping-points for the regress of justification.

The position just outlined is in fact a fairly modest version of strong foundationalism. Strong foundationalists have typically made considerably stronger claims on behalf of basic beliefs. Basic beliefs have been claimed not only to have sufficient non-inferential justification to qualify as knowledge, but also to be *certain, infallible, indubitable, or incorrigible* (terms which are usually not very carefully distinguished).<sup>13</sup> And most of the major attacks on foundationalism have focused on these stronger claims. Thus it is important to point out that nothing about the basic strong foundationalist response to the regress problem demands that basic beliefs be more than adequately justified. There might of course be other reasons for requiring that basic beliefs have some more exalted

epistemic status or for thinking that in fact they do. There might even be some sort of indirect argument to show that such a status is a consequence of the sorts of epistemic properties which are directly required to solve the regress problem. But until such an argument is given (and it is doubtful that it can be), the question of whether basic beliefs are or can be certain, infallible, etc., will remain a relatively unimportant side-issue.

Indeed, many recent foundationalists have felt that even the relatively modest version of strong foundationalism outlined above is still too strong. Their alternative, still within the general aegis of the foundationalist position, is a view which may be called *weak foundationalism*. Weak foundationalism accepts the central idea of foundationalism—viz. that certain empirical beliefs possess a degree of independent epistemic justification or warrant which does not derive from inference or coherence relations. But the weak foundationalist holds that these foundational beliefs have only a quite low degree of warrant, much lower than that attributed to them by even modest strong foundationalism and insufficient by itself to satisfy the justification condition for knowledge or to qualify them as acceptable justifying premises for other beliefs. Thus this independent warrant must somehow be augmented if knowledge is to be achieved, and the usual appeal here is to coherence with other such minimally warranted beliefs. By combining such beliefs into larger and larger coherent systems, it is held, their initial, minimal degree of warrant can gradually be enhanced until knowledge is finally achieved. Thus weak foundationalism, like the pure coherence theories mentioned above, abandons the linear conception of justification.<sup>14</sup>

Weak foundationalism thus represents a kind of hybrid between strong foundationalism and the coherence views discussed earlier, and it is often thought to embody the virtues of both and the vices of neither. Whether or not this is so in other respects, however, relative to the regress problem weak foundationalism is finally open to the very same basic objection as strong foundationalism, with essentially the same options available for meeting

<sup>12</sup> The presumption against a skeptical outcome is strong, but I think it is a mistake to treat it as absolute. If no non-skeptical theory can be found which is at least reasonably plausible in its own right, skepticism might become the only rational alternative.

<sup>13</sup> For some useful distinctions among these terms, see William Alston, "Varieties of Privileged Access," *American Philosophical Quarterly*, vol. 8 (1971), pp. 223-241.

<sup>14</sup> For discussions of weak foundationalism, see Bertrand Russell, *Human Knowledge* (New York, 1949), part II, ch. 11, and part V, chs. 6 and 7; Nelson Goodman, "Sense and Certainty," *Philosophical Review*, vol. 61 (1952), pp. 160-167; Israel Scheffler, *Science and Subjectivity* (New York, 1967), chapter V; and Roderick Firth, "Coherence, Certainty, and Epistemic Priority," *The Journal of Philosophy*, vol. 61 (1964), pp. 545-557.

it. As we shall see, the key problem for any version of foundationism is whether it can itself solve the regress problem which motivates its very existence, without resorting to essentially *ad hoc* stipulation. The distinction between the two main ways of meeting this challenge both cuts across and is more basic than that between strong and weak foundationism. This being so, it will suffice to concentrate here on strong foundationism, leaving the application of the discussion to weak foundationism largely implicit.

The fundamental concept of strong foundationism is obviously the concept of a basic belief. It is by appeal to this concept that the threat of an infinite regress is to be avoided and empirical knowledge given a secure foundation. But how can there be any empirical beliefs which are thus basic? In fact, though this has not always been noticed, the very idea of an epistemically basic empirical belief is extremely paradoxical. For on what basis is such a belief to be justified, once appeal to further empirical beliefs is ruled out? Chisholm's theological analogy, cited earlier, is most appropriate: a basic belief is in effect an epistemological unmoved (or self-moved) mover. It is able to confer justification on other beliefs, but apparently has no need to have justification conferred on it. But is such a status any easier to understand in epistemology than it is in theology? How can a belief impart epistemic "motion" to other beliefs unless it is itself in "motion"? And, even more paradoxically, how can a belief epistemically "move" itself?

This intuitive difficulty with the concept of a basic empirical belief may be elaborated and clarified by reflecting a bit on the concept of epistemic justification. The idea of justification is a generic one, admitting in principle of many specific varieties. Thus the acceptance of an empirical belief might be morally justified, i.e. justified as morally obligatory by reference to moral principles and standards; or pragmatically justified, i.e. justified by reference to the desirable practical consequences which will result from such acceptance; or religiously justified, i.e. justified by reference to specified religious texts or theological

dogmas; etc. But none of these other varieties of justification can satisfy the justification condition for knowledge. Knowledge requires *epistemic* justification, and the distinguishing characteristic of this particular species of justification is, I submit, its essential or internal relationship to the cognitive goal of truth. Cognitive doings are epistemically justified, on this conception, only if and to the extent that they are aimed at this goal—which means roughly that one accepts all and only beliefs which one has good reason to think are true.<sup>15</sup> To accept a belief in the absence of such a reason, however appealing or even mandatory such acceptance might be from other standpoints, is to neglect the pursuit of truth; such acceptance is, one might say, *epistemically irresponsible*. My contention is that the idea of being epistemically responsible is the core of the concept of epistemic justification.<sup>16</sup>

A corollary of this conception of epistemic justification is that a satisfactory defense of a particular standard of epistemic justification must consist in showing it to be truth-conducive, i.e. in showing that accepting beliefs in accordance with its dictates is likely to lead to truth (and more likely than any proposed alternative). Without such a meta-justification, a proposed standard of epistemic justification lacks any underlying rationale. Why after all should an epistemically responsible inquirer prefer justified beliefs to unjustified ones, if not that the former are more likely to be true? To insist that a certain belief is epistemically justified, while confessing in the same breath that this fact about it provides no good reason to think that it is true, would be to render nugatory the whole concept of epistemic justification.

These general remarks about epistemic justification apply in full measure to any strong foundationist position and to its constituent account of basic beliefs. If basic beliefs are to provide a secure foundation for empirical knowledge, if inference from them is to be the sole basis for the justification of other empirical beliefs, then that feature, whatever it may be, in virtue of which a belief qualifies as basic must also constitute a good reason for thinking that the belief is true. If we let ' $\phi$ ' represent this feature, then for a belief *B* to qualify as

<sup>15</sup> How good a reason must one have? Presumably some justification accrues from any reason which makes the belief even minimally more likely to be true than not, but considerably more than this would be required to make the justification adequate for knowledge. (See note 3, above.) (The James-Clifford controversy concerning the "will to believe" is also relevant here. I am agreeing with Clifford to the extent of saying that epistemic justification requires some positive reason in favor of the belief and not just the absence of any reason against.)

<sup>16</sup> For a similar use of the notion of epistemic irresponsibility, see Ernest Sosa, "How Do You Know?" *American Philosophical Quarterly*, vol. 11 (1974), p. 117.

basic in an acceptable foundationalist account, the premises of the following justificatory argument must themselves be at least justified:<sup>17</sup>

- (i) Belief *B* has feature  $\phi$ .
- (ii) Beliefs having feature  $\phi$  are highly likely to be true.

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Therefore, *B* is highly likely to be true.

Notice further that while either premise taken separately might turn out to be justifiable on an *a priori* basis (depending on the particular choice of  $\phi$ ), it seems clear that they could not both be thus justifiable. For *B* is *ex hypothesi* an empirical belief, and it is hard to see how a particular empirical belief could be justified on a purely *a priori* basis.<sup>18</sup> And if we now assume, reasonably enough, that for *B* to be justified for a particular person (at a particular time) it is necessary, not merely that a justification for *B* exist in the abstract, but that the person in question be in cognitive possession of that justification, we get the result that *B* is not basic after all since its justification depends on that of at least one other empirical belief. If this is correct, strong foundationalism is untenable as a solution to the regress problem (and an analogous argument will show weak foundationalism to be similarly untenable).

The foregoing argument is, no doubt, exceedingly obvious. But how is the strong foundationalist to answer it? *Prima facie*, there seem to be only two general sorts of answer which are even remotely plausible, so long as the strong foundationalist remains within the confines of the traditional conception of knowledge, avoids tacitly embracing skepticism, and does not attempt the heroic task of arguing that an empirical belief could be justified on a purely *a priori* basis. First, he might argue that although it is indeed necessary for a belief to be justified and *a fortiori* for it to be basic that a justifying argument of the sort schematized above be in principle available in the situation, it is *not* always necessary that the person for whom the belief is basic (or anyone else) know or even justifiably believe that it is available; instead, in the case of

basic beliefs at least, it is sufficient that the premises for an argument of that general sort (or for some favored particular variety of such argument) merely be *true*, whether or not that person (or anyone else) justifiably believes that they are true. Second, he might grant that it is necessary both that such justification exist and that the person for whom the belief is basic be in cognitive possession of it, but insist that his cognitive grasp of the premises required for that justification does not involve further empirical beliefs which would then require justification, but instead involves cognitive states of a more rudimentary sort which do not themselves require justification: *intuitions* or *immediate apprehensions*. I will consider each of these alternatives in turn.

### III

The philosopher who has come the closest to an explicit advocacy of the view that basic beliefs may be justified even though the person for whom they are basic is not in any way in cognitive possession of the appropriate justifying argument is D. M. Armstrong. In his recent book, *Belief, Truth and Knowledge*,<sup>19</sup> Armstrong presents a version of the epistemic regress problem (though one couched in terms of knowledge rather than justification) and defends what he calls an "Externalist" solution:

According to 'Externalist' accounts of non-inferential knowledge, what makes a true non-inferential belief a case of *knowledge* is some natural relation which holds between the belief-state . . . and the situation which makes the belief true. It is a matter of a certain relation holding between the believer and the world. [157].

Armstrong's own candidate for this "natural relation" is "that there must be a *law-like connection* between the state of affairs *Bap* [i.e. *a*'s believing that *p*] and the state of affairs that makes '*p*' true such that, given *Bap*, it must be the case that *p*." [166] A similar view seems to be implicit in Dretske's account of perceptual knowledge in *Seeing and Knowing*, with the variation that Dretske requires for knowledge not only that the relation in

<sup>17</sup> In fact, the premises would probably have to be true as well, in order to avoid Gettier-type counterexamples. But I shall ignore this refinement here.

<sup>18</sup> On a Carnap-style *a priori* theory of probability it could, of course, be the case that very general empirical propositions were more likely to be true than not, i.e. that the possible state-descriptions in which they are true outnumber those in which they are false. But clearly this would not make them likely to be true in a sense which would allow the detached assertion of the proposition in question (on pain of contradiction), and this fact seems to preclude such justification from being adequate for knowledge.

<sup>19</sup> Armstrong, *op. cit.*, chapters 11-13. Bracketed page references in this section are to this book.

question obtain, but also that the putative knower *believe* that it obtains—though *not* that this belief be justified.<sup>20</sup> In addition, it seems likely that various views of an ordinary-language stripe which appeal to facts about how language is learned either to justify basic belief or to support the claim that no justification is required would, if pushed, turn out to be positions of this general sort. Here I shall mainly confine myself to Armstrong, who is the only one of these philosophers who is explicitly concerned with the regress problem.

There is, however, some uncertainty as to how views of this sort in general and Armstrong's view in particular are properly to be interpreted. On the one hand, Armstrong might be taken as offering an account of how basic beliefs (and perhaps others as well) satisfy the adequate-justification condition for knowledge; while on the other hand, he might be taken as simply repudiating the traditional conception of knowledge and the associated concept of epistemic justification, and offering a surrogate conception in its place—one which better accords with the "naturalistic" world-view which Armstrong prefers.<sup>21</sup> But it is only when understood in the former way that externalism (to adopt Armstrong's useful term) is of any immediate interest here, since it is only on that interpretation that it constitutes a version of foundationism and offers a direct response to the anti-foundationist argument set out above. Thus I shall mainly focus on this interpretation of externalism, remarking only briefly at the end of the present section on the alternative one.

Understood in this way, the externalist solution to the regress problem is quite simple: the person who has a basic belief need not be in possession of any justified reason for his belief and indeed, except in Dretske's version, need not even think that there is such a reason; the status of his belief as constituting knowledge (if true) depends solely on the external relation and not at all on his subjective view of the situation. Thus there are no

further empirical beliefs in need of justification and no regress.

Now it is clear that such an externalist position succeeds in avoiding the regress problem and the anti-foundationist argument. What may well be doubted, however, is whether this avoidance deserves to be considered a *solution*, rather than an essentially *ad hoc* evasion, of the problem. Plainly the sort of "external" relation which Armstrong has in mind would, if known, provide a basis for a justifying argument along the lines sketched earlier, roughly as follows:

- (i) Belief *B* is an instance of kind *K*.
- (ii) Beliefs of kind *K* are connected in a law-like way with the sorts of states of affairs which would make them true, and therefore are highly likely to be true.

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Therefore, *B* is highly likely to be true.

But precisely what generates the regress problem in the first place is the requirement that for a belief *B* to be epistemically justified for a given person *P*, it is necessary, not just that there be justifiable or even true premises available in the situation which could in principle provide a basis for a justification of *B*, but that *P* himself know or at least justifiably believe some such set of premises and thus be in a position to employ the corresponding argument. The externalist position seems to amount merely to waiving this general requirement in cases where the justification takes a certain form, and the question is why this should be acceptable in these cases when it is not acceptable generally. (If it were acceptable generally, then it would seem that any true belief would be justified for any person, and the distinction between knowledge and true belief would collapse.) Such a move seems rather analogous to solving a regress of causes by simply stipulating that although most events must have a cause, events of a certain kind need not.

Whatever plausibility attaches to externalism

<sup>20</sup> Fred I. Dretske, *Seeing and Knowing* (London, 1969), chapter III, especially pp. 126–139. It is difficult to be quite sure of Dretske's view, however, since he is not concerned in this book to offer a general account of knowledge. Views which are in some ways similar to those of Armstrong and Dretske have been offered by Goldman and by Unger. See Alvin Goldman, "A Causal Theory of Knowing," *The Journal of Philosophy*, vol. 64 (1967), pp. 357–372; and Peter Unger, "An Analysis of Factual Knowledge," *The Journal of Philosophy*, vol. 65 (1968), pp. 157–170. But both Goldman and Unger are explicitly concerned with the Gettier problem and not at all with the regress problem, so it is hard to be sure how their views relate to the sort of externalist view which is at issue here.

<sup>21</sup> On the one hand, Armstrong seems to argue that it is *not* a requirement for knowledge that the believer have "sufficient evidence" for his belief, which sounds like a rejection of the adequate-justification condition. On the other hand, he seems to want to say that the presence of the external relation makes it rational for a person to accept a belief, and he seems (though this is not clear) to have *epistemic* rationality in mind; and there appears to be no substantial difference between saying that a belief is epistemically rational and saying that it is epistemically justified.

seems to derive from the fact that if the external relation in question genuinely obtains, then *P* will not go wrong in accepting the belief, and it is, in a sense, not an accident that this is so. But it remains unclear how these facts are supposed to justify *P*'s acceptance of *B*. It is clear, of course, that an external observer who knew both that *P* accepted *B* and that there was a law-like connection between such acceptance and the truth of *B* would be in a position to construct an argument to justify *his own* acceptance of *B*. *P* could thus serve as a useful epistemic instrument, a kind of cognitive thermometer, for such an external observer (and in fact the example of a thermometer is exactly the analogy which Armstrong employs to illustrate the relationship which is supposed to obtain between the person who has the belief and the external state of affairs [166ff.]). But *P* himself has no reason at all for thinking that *B* is likely to be true. From his perspective, it is an accident that the belief is true.<sup>22</sup> And thus his acceptance of *B* is no more rational or responsible from an epistemic standpoint than would be the acceptance of a subjectively similar belief for which the external relation in question failed to obtain.<sup>23</sup>

Nor does it seem to help matters to move from Armstrong's version of externalism, which requires only that the requisite relationship between the believer and the world obtain, to the superficially less radical version apparently held by Dretske, which requires that *P* also believe that the external relation obtains, but does not require that this latter belief be justified. This view may seem slightly less implausible, since it at least requires that the person have some idea, albeit unjustified, of why *B* is likely to be true. But this change is not enough to save externalism. One way to see this is to suppose that the person believes the requisite relation to obtain on some totally irrational and irrelevant basis, e.g. as a result of reading tea leaves or studying astrological charts. If *B* were an ordinary, non-basic belief, such a situation would

surely preclude its being justified, and it is hard to see why the result should be any different for an allegedly basic belief.

Thus it finally seems possible to make sense of externalism only by construing the externalist as simply abandoning the traditional notion of epistemic justification and along with it anything resembling the traditional conception of knowledge. (As already remarked, this may be precisely what the proponents of externalism intend to be doing, though most of them are not very clear on this point.) Thus consider Armstrong's final summation of his conception of knowledge:

*Knowledge of the truth of particular matters of fact is a belief which must be true, where the 'must' is a matter of law-like necessity. Such knowledge is a reliable representation or 'mapping' of reality. [220].*

Nothing is said here of reasons or justification or evidence or having the right to be sure. Indeed the whole idea, central to the western epistemological tradition, of knowledge as essentially the product of reflective, critical, and rational inquiry has seemingly vanished without a trace. It is possible of course that such an altered conception of knowledge may be inescapable or even in some way desirable, but it constitutes a solution to the regress problem or any problem arising out of the traditional conception of knowledge only in the radical and relatively uninteresting sense that to reject that conception is also to reject the problems arising out of it. In this paper, I shall confine myself to less radical solutions.

#### IV

The externalist solution just discussed represents a very recent approach to the justification of basic beliefs. The second view to be considered is, in contrast, so venerable that it deserves to be called the standard foundationist solution to the problem in question. I refer of course to the traditional

<sup>22</sup> One way to put this point is to say that whether a belief is likely to be true or whether in contrast it is an accident that it is true depends significantly on how the belief is described. Thus it might be true of one and the same belief that it is "a belief connected in a law-like way with the state of affairs which it describes" and also that it is "a belief adopted on the basis of no apparent evidence"; and it might be likely to be true on the first description and unlikely to be true on the second. The claim here is that it is the believer's own conception which should be considered in deciding whether the belief is justified. (Something analogous seems to be true in ethics: the moral worth of a person's action is correctly to be judged only in terms of that person's subjective conception of what he is doing and not in light of what happens, willy-nilly, to result from it.)

<sup>23</sup> Notice, however, that if beliefs standing in the proper external relation should happen to possess some subjectively distinctive feature (such as being spontaneous and highly compelling to the believer), and if the believer were to notice empirically, that beliefs having this feature were true a high proportion of the time, he would then be in a position to construct a justification for a new belief of that sort along the lines sketched at the end of section II. But of course a belief justified in that way would no longer be basic.



doctrine of cognitive givenness, which has played a central role in epistemological discussions at least since Descartes. In recent years, however, the concept of the given, like foundationism itself, has come under serious attack. One upshot of the resulting discussion has been a realization that there are many different notions of givenness, related to each other in complicated ways, which almost certainly do not stand or fall together. Thus it will be well to begin by formulating the precise notion of givenness which is relevant in the present context and distinguishing it from some related conceptions.

In the context of the epistemic regress problem, givenness amounts to the idea that basic beliefs are justified by reference, not to further *beliefs*, but rather to states of affairs in the world which are "immediately apprehended" or "directly presented" or "intuited." This justification by reference to non-cognitive states of affairs thus allegedly avoids the need for any further justification and thereby stops the regress. In a way, the basic gambit of givenism (as I shall call positions of this sort) thus resembles that of the externalist positions considered above. In both cases the justificatory appeal to further beliefs which generates the regress problem is avoided for basic beliefs by an appeal directly to the non-cognitive world; the crucial difference is that for the givenist, unlike the externalist, the justifying state of affairs in the world is allegedly apprehended *in some way* by the believer.

The givenist position to be considered here is significantly weaker than more familiar versions of the doctrine of givenness in at least two different respects. In the first place, the present version does not claim that the given (or, better, the apprehension thereof) is certain or even incorrigible. As discussed above, these stronger claims are inessential to the strong foundationist solution to the regress problem. If they have any importance at all in this context it is only because, as we shall see,

they might be thought to be entailed by the only very obvious intuitive picture of how the view is supposed to work. In the second place, givenism as understood here does not involve the usual stipulation that only one's private mental and sensory states can be given. There may or may not be other reasons for thinking that this is in fact the case, but such a restriction is not part of the position itself. Thus both positions like that of C. I. Lewis, for whom the given is restricted to private states apprehended with certainty, and positions like that of Quinton, for whom ordinary physical states of affairs are given with no claim of certainty or incorrigibility being involved, will count as versions of givenism.

As already noted, the idea of givenness has been roundly criticized in recent philosophical discussion and widely dismissed as a piece of philosophical mythology. But much at least of this criticism has to do with the claim of certainty on behalf of the given or with the restriction to private, subjective states. And some of it at least has been mainly concerned with issues in the philosophy of mind which are only distantly related to our present epistemological concerns. Thus even if the objections offered are cogent against other and stronger versions of givenness, it remains unclear whether and how they apply to the more modest version at issue here. The possibility suggests itself that modest givenness may not be a myth, even if more ambitious varieties are, a result which would give the epistemological foundationist all he really needs, even though he has usually, in a spirit of philosophical greed, sought considerably more. In what follows, however, I shall sketch a line of argument which, if correct, will show that even modest givenism is an untenable position.<sup>24</sup>

The argument to be developed depends on a problem within the givenist position which is surprisingly easy to overlook. I shall therefore proceed in the following way. I shall first state the problem in an initial way, then illustrate it by showing how

<sup>24</sup> I suspect that something like the argument to be given here is lurking somewhere in Sellars' "Empiricism and the Philosophy of Mind" (reprinted in Sellars, *Science, Perception, and Reality* [London, 1963], pp. 127-196), but it is difficult to be sure. A more recent argument by Sellars which is considerably closer on the surface to the argument offered here is contained in "The Structure of Knowledge," his Machette Foundation Lectures given at the University of Texas in 1971, in Hector-Nerl Casteneda (ed.), *Action, Knowledge, and Reality: Critical Studies in Honor of Wilfrid Sellars* (Indianapolis, 1975), Lecture III, sections III-IV. A similar line of argument was also offered by Neurath and Hempel. See Otto Neurath, "Protocol Sentences," tr. in A. J. Ayer (ed.), *Logical Positivism* (New York, 1959), pp. 199-208; and Carl G. Hempel, "On the Logical Positivists' Theory of Truth," *Analysis*, vol. 2 (1934-5), pp. 49-59. The Hempel paper is in part a reply to a foundationist critique of Neurath by Schlick in "The Foundation of Knowledge," also translated in *Logical Positivism, op. cit.*, pp. 209-227. Schlick replied to Hempel in "Facts and Propositions," and Hempel responded in "Some Remarks on 'Facts' and Propositions," both in *Analysis*, vol. 2 (1934-5), pp. 65-70 and 93-96, respectively. Though the Neurath-Hempel argument conflates issues having to do with truth and issues having to do with justification in a confused and confusing way, it does bring out the basic objection to givenism.

it arises in one recent version of givenism, and finally consider whether any plausible solution is possible. (It will be useful for the purposes of this discussion to make two simplifying assumptions, without which the argument would be more complicated, but not essentially altered. First, I shall assume that the basic belief which is to be justified by reference to the given or immediately apprehended state of affairs is just the belief that this same state of affairs obtains. Second, I shall assume that the given or immediately apprehended state of affairs is not itself a belief or other cognitive state.)

Consider then an allegedly basic belief that-*p* which is supposed to be justified by reference to a given or immediately apprehended state of affairs that-*p*. Clearly what justifies the belief is not the state of affairs simpliciter, for to say that would be to return to a form of externalism. For the givenist, what justifies the belief is the *immediate apprehension* or *intuition* of the state of affairs. Thus we seem to have three items present in the situation: the belief, the state of affairs which is the object of the belief, and the intuition or immediate apprehension of that state of affairs. The problem to be raised revolves around the nature of the last of these items, the intuition or immediate apprehension (hereafter I will use mainly the former term). It *seems* to be a cognitive state, perhaps somehow of a more rudimentary sort than a belief, which involves the thesis or assertion that-*p*. Now if this is correct, it is easy enough to understand in a rough sort of way how an intuition can serve to justify a belief with this same assertive content. The problem is to understand why the intuition, involving as it does the cognitive thesis that-*p*, does not *itself* require justification. And if the answer is offered that the intuition is justified by reference to the state of affairs that-*p*, then the question will be why this would not require a second intuition or other apprehension of the state of affairs to justify the original one. For otherwise one and the same cognitive state must somehow constitute both an apprehension of the state of affairs and a justification of that very apprehension, thus pulling itself up by its own cognitive bootstraps. One is

reminded here of Chisholm's claim that certain cognitive states justify themselves,<sup>25</sup> but that extremely paradoxical remark hardly constitutes an explanation of how this is possible.

If, on the other hand, an intuition is not a cognitive state and thus involves no cognitive grasp of the state of affairs in question, then the need for a justification for the intuition is obviated, but at the serious cost of making it difficult to see how the intuition is supposed to justify the belief. If the person in question has no cognitive grasp of that state of affairs (or of any other) by virtue of having such an intuition, then how does the intuition give him a *reason* for thinking that his belief is true or likely to be true? We seem again to be back to an externalist position, which it was the whole point of the category of intuition or givenness to avoid.

As an illustration of this problem, consider Quinon's version of givenism, as outlined in his book *The Nature of Things*.<sup>26</sup> As noted above, basic beliefs may, according to Quinon, concern ordinary perceptible states of affairs and need not be certain or incorrigible. (Quinon uses the phrase "intuitive belief" as I have been using "basic belief" and calls the linguistic expression of an intuitive belief a "basic statement"; he also seems to pay very little attention to the difference between beliefs and statements, shifting freely back and forth between them, and I will generally follow him in this.) Thus "this book is red" might, in an appropriate context, be a basic statement expressing a basic or intuitive belief. But how are such basic statements (or the correlative beliefs) supposed to be justified? Here Quinon's account, beyond the insistence that they are not justified by reference to further beliefs, is seriously unclear. He says rather vaguely that the person is "aware" [129] or "directly aware" [139] of the appropriate state of affairs, or that he has "direct knowledge" [126] of it, but he gives no real account of the nature or epistemological status of this state of "direct awareness" or "direct knowledge," though it seems clear that it is supposed to be a cognitive state of some kind. (In particular, it is not clear what "direct" means, over and above "non-inferential.")<sup>27</sup>

<sup>25</sup> Chisholm, "Theory of Knowledge," in Chisholm *et al.*, *Philosophy* (Englewood Cliffs, N.J., 1964), pp. 270ff.

<sup>26</sup> *Op. cit.* Bracketed page references in this section will be to this book.

<sup>27</sup> Quinon does offer one small bit of clarification here, by appealing to the notion of ostensive definition and claiming in effect that the sort of awareness involved in the intuitive justification of a basic belief is the same as that involved in a situation of ostensive definition. But such a comparison is of little help, for at least two reasons. First, as Wittgenstein, Sellars, and others have argued, the notion of ostensive definition is itself seriously problematic. Indeed, an objection quite analogous to the present one against the notion of a basic belief could be raised against the notion of an ostensive definition; and this objection, if

The difficulty with Quinon's account comes out most clearly in his discussion of its relation to the correspondence theory of truth:

The theory of basic statements is closely connected with the correspondence theory of truth. In its classical form that theory holds that to each true statement, whatever its form may be, a fact of the same form corresponds. The theory of basic statements indicates the point at which correspondence is established, at which the system of beliefs makes its justifying contact with the world. [139].

And further on he remarks that the truth of basic statements "is directly determined by their correspondence with fact" [143]. (It is clear that "determined" here means "epistemically determined.") Now it is a familiar but still forceful idealist objection to the correspondence theory of truth that if the theory were correct we could never know whether any of our beliefs were true, since we have no perspective outside our system of beliefs from which to see that they do or do not correspond. Quinon, however, seems to suppose rather blithely that intuition or direct awareness provides just such a perspective, from which we can in some cases apprehend both beliefs and world and judge whether or not they correspond. And he further supposes that the issue of justification somehow does not arise for apprehensions made from this perspective, though without giving any account of how or why this is so.

My suggestion here is that no such account can be given. As indicated above, the givenist is caught in a fundamental dilemma: if his intuitions or immediate apprehensions are construed as cognitive, then they will be both capable of giving justification and in need of it themselves; if they are non-cognitive, then they do not need justification but are also apparently incapable of providing it. This, at bottom, is why epistemological givenness is a myth.<sup>28</sup>

Once the problem is clearly realized, the only possible solution seems to be to split the difference

by claiming that an intuition is a semi-cognitive or quasi-cognitive state,<sup>29</sup> which resembles a belief in its capacity to confer justification, while differing from a belief in not requiring justification itself. In fact, some such conception seems to be implicit in most if not all givenist positions. But when stated thus baldly, this "solution" to the problem seems hopelessly contrived and *ad hoc*. If such a move is acceptable, one is inclined to expostulate, then once again any sort of regress could be solved in similar fashion. Simply postulate a final term in the regress which is sufficiently similar to the previous terms to satisfy, with respect to the penultimate term, the sort of need or impetus which originally generated the regress; but which is different enough from previous terms so as not itself to require satisfaction by a further term. Thus we would have semi-events, which could cause but need not be caused; semi-explanata, which could explain but need not be explained; and semi-beliefs, which could justify but need not be justified. The point is not that such a move is always incorrect (though I suspect that it is), but simply that the nature and possibility of such a convenient regress-stopper needs at the very least to be clearly and convincingly established and explained before it can constitute a satisfactory solution to any regress problem.

The main account which has usually been offered by givenists of such semi-cognitive states is well suggested by the terms in which immediate or intuitive apprehensions are described: "immediate," "direct," "presentation," etc. The underlying idea here is that of *confrontation*: in intuition, mind or consciousness is directly confronted with its object, without the intervention of any sort of intermediary. It is in this sense that the object is *given* to the mind. The root metaphor underlying this whole picture is vision: mind or consciousness is likened to an immaterial eye, and the object of intuitive awareness is that which is directly before the mental eye and open to its gaze. If this meta-

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answerable at all, could only be answered by construing the awareness involved in ostension in such a way as to be of no help to the foundationist in the present discussion. Second, more straightforwardly, even if the notion of ostensive definition were entirely unobjectionable, there is no need for the sort of awareness involved to be *justified*. If all that is at issue is learning the meaning of a word (or acquiring a concept), then justification is irrelevant. Thus the existence of ostensive definitions would not show how there could be basic beliefs.

<sup>28</sup> Notice, however, that to reject an epistemological given does not necessarily rule out other varieties of givenness which may have importance for other philosophical issues. In particular, there may still be viable versions of givenness which pose an obstacle to materialist views in the philosophy of mind. For useful distinctions among various versions of givenness and a discussion of their relevance to the philosophy of mind, see James W. Cornman, "Materialism and Some Myths about Some Givens," *The Monist*, vol. 56 (1972), pp. 215-233.

<sup>29</sup> Compare the Husserlian notion of a "pre-predicative awareness."

phor were to be taken seriously, it would become relatively simple to explain how there can be a cognitive state which can justify but does not require justification. (If the metaphor is to be taken seriously enough to do the foundationist any real good, it becomes plausible to hold that the intuitive cognitive states which result would after all have to be infallible. For if all need for justification is to be precluded, the envisaged relation of confrontation seemingly must be conceived as too intimate to allow any possibility of error. To the extent that this is so, the various arguments which have been offered against the notion of infallible cognitive states count also against this version of givenism.)

Unfortunately, however, it seems clear that the mental eye metaphor will not stand serious scrutiny. The mind, whatever else it may be, is not an eye or, so far as we know, anything like an eye. Ultimately the metaphor is just far too simple to be even minimally adequate to the complexity of mental phenomena and to the variety of conditions upon which such phenomena depend. This is not to deny that there is considerable intuitive appeal to the confrontational model, especially as applied to perceptual consciousness, but only to insist that this appeal is far too vague in its import to adequately support the very specific sorts of epistemological results which the strong foundationist needs. In particular, even if empirical knowledge at some point involves some sort of confrontation or seeming confrontation, this by itself provides no clear reason for attributing epistemic justification or reliability, let alone certainty, to the cognitive states, whatever they may be called, which result.

Moreover, quite apart from the vicissitudes of the mental eye metaphor, there are powerful independent reasons for thinking that the attempt to defend givenism by appeal to the idea of a semi-cognitive or quasi-cognitive state is fundamentally misguided. The basic idea, after all, is to distinguish two aspects of a cognitive state, its capacity to justify other states and its own need for justification, and then try to find a state which possesses only the former aspect and not the latter. But it seems clear on reflection that these two aspects cannot be separated, that it is one and the same feature of a cognitive state, viz. its assertive content,

which both enables it to confer justification on other states and also requires that it be justified itself. If this is right, then it does no good to introduce semi-cognitive states in an attempt to justify basic beliefs, since to whatever extent such a state is capable of conferring justification, it will to that very same extent require justification. Thus even if such states do exist, they are of no help to the givenist in attempting to answer the objection at issue here.<sup>30</sup>

Hence the givenist response to the anti-foundationalist argument seems to fail. There seems to be no way to explain how a basic cognitive state, whether called a belief or an intuition, can be directly justified by the world without lapsing back into externalism—and from there into skepticism. I shall conclude with three further comments aimed at warding off certain likely sorts of misunderstanding. First. It is natural in this connection to attempt to justify basic beliefs by appealing to *experience*. But there is a familiar ambiguity in the term “experience,” which in fact glosses over the crucial distinction upon which the foregoing argument rests. Thus “experience” may mean either an *experiencing* (i.e., a cognitive state) or something *experienced* (i.e., an object of cognition). And once this ambiguity is resolved, the concept of experience seems to be of no particular help to the givenist. Second. I have concentrated, for the sake of simplicity, on Quinton’s version of givenism in which ordinary physical states of affairs are among the things which are given. But the logic of the argument would be essentially the same if it were applied to a more traditional version like Lewis’s in which it is private experiences which are given, and I cannot see that the end result would be different—though it might be harder to discern, especially in cases where the allegedly basic belief is a belief about another cognitive state. Third. Notice carefully that the problem raised here with respect to givenism is a logical problem (in a broad sense of “logical”). Thus it would be a mistake to think that it can be solved simply by indicating some sort of state which seems intuitively to have the appropriate sorts of characteristics; the problem is to understand how it is *possible* for any state to have those characteristics. (The mistake would be analogous to one occasionally made in connection with the free-will problem:

<sup>30</sup> It is interesting to note that Quinton seems to offer an analogous critique of givenness in an earlier paper, “The Problem of Perception,” reprinted in Robert J. Swartz (ed.), *Perceiving, Sensing, and Knowing* (Garden City, New York, 1965), pp. 497–526; cf. especially p. 503.

the mistake of attempting to solve the logical problem of how an action can be not determined but also not merely random by indicating a subjective act of effort or similar state, which seems intuitively to satisfy such a description.)

Thus foundationism appears to be doomed by its own internal momentum. No account seems to be available of how an empirical belief can be genuinely justified in an epistemic sense, while avoiding all reference to further empirical beliefs or cognitions which themselves would require justifi-

cation. How then is the epistemic regress problem to be solved? The natural direction to look for an answer is to the coherence theory of empirical knowledge and the associated non-linear conception of justification which were briefly mentioned above.<sup>31</sup> But arguments by elimination are dangerous at best: there may be further alternatives which have not yet been formulated; and the possibility still threatens that the epistemic regress problem may in the end be of aid and comfort only to the skeptic.<sup>32</sup>

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<sup>31</sup> For a discussion of such a coherence theory, see my paper cited in note 11, above.

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