

## **Selections from Chapters IX and X of Kuhn's *Structure***

### **IX. The Nature and Necessity of Scientific Revolutions**

These remarks permit us at last to consider the problems that provide this essay with its title. What are scientific revolutions, and what is their function in scientific development? Much of the answer to these questions has been anticipated in earlier sections. In particular, the preceding discussion has indicated that scientific revolutions are here taken to be those non-cumulative developmental episodes in which an older paradigm is replaced in whole or in part by an incompatible new one. There is more to be said, however, and an essential part of it can be introduced by asking one further question. Why should a change of paradigm be called a revolution? In the face of the vast and essential differences between political and scientific development, what parallelism can justify the metaphor that finds revolutions in both?

One aspect of the parallelism must already be apparent. Political revolutions are inaugurated by a growing sense, often restricted to a segment of the political community, that existing institutions have ceased adequately to meet the problems posed by an environment that they have in part created. In much the same way, scientific revolutions are inaugurated by a growing sense, again often restricted to a narrow subdivision of the scientific community, that an existing paradigm has ceased to function adequately in the exploration of an aspect of nature to which that paradigm itself had previously led the way. In both political and scientific development the sense of malfunction that can lead to crisis is prerequisite to revolution. Furthermore, though it admittedly strains the metaphor, that parallelism holds not only for the major paradigm changes, like those attributable to Copernicus and Lavoisier, but also for the far smaller ones associated with the assimilation of a new sort of phenomenon, like oxygen or X-rays. Scientific revolutions, as we noted at the end of Section V, need seem revolutionary only to those whose paradigms are affected by them. To outsiders they may, like the Balkan revolutions of the early twentieth century, seem normal parts of the developmental process. Astronomers, for example, could accept X-rays as a mere addition to knowledge, for their paradigms were unaffected by the existence of the new radiation. But for men like Kelvin, Crookes, and Roentgen, whose research dealt with radiation theory or with cathode ray tubes, the emergence of X-rays necessarily violated one paradigm as it created another. That is why these rays could be discovered only through something's first going wrong with normal research.

This genetic aspect of the parallel between political and scientific development should no longer be open to doubt. The parallel has, however, a second and more profound aspect upon which the significance of the first depends. Political revolutions aim to change political institutions in ways that those institutions themselves prohibit. Their success therefore necessitates the partial relinquishment of one set of institutions in favor of another, and in the interim, society is not fully governed by institutions at all. Initially it is crisis alone that attenuates the role of political institutions as we have already seen it attenuate the role of paradigms. In increasing numbers individuals become increasingly estranged from political life and behave more and more eccentrically within it. Then, as the crisis deepens, many of these individuals commit themselves to some concrete proposal for the reconstruction of society in a new

institutional framework. At that point the society is divided into competing camps or parties, one seeking to defend the old institutional constellation, the others seeking to institute some new one. And, once that polarization has occurred, *political recourse fails*. Because they differ about the institutional matrix within which political change is to be achieved and evaluated, because they acknowledge no supra-institutional framework for the adjudication of revolutionary difference, the parties to a revolutionary conflict must finally resort to the techniques of mass persuasion, often including force. Though revolutions have had a vital role in the evolution of political institutions, that role depends upon their being partially extrapolitical or extrainstitutional events.

The remainder of this essay aims to demonstrate that the historical study of paradigm change reveals very similar characteristics in the evolution of the sciences. Like the choice between competing political institutions, that between competing paradigms proves to be a choice between incompatible modes of community life. Because it has that character, the choice is not and cannot be determined merely by the evaluative procedures characteristic of normal science, for these depend in part upon a particular paradigm, and that paradigm is at issue. When paradigms enter, as they must, into a debate about paradigm choice, their role is necessarily circular. Each group uses its own paradigm to argue in that paradigm's defense.

The resulting circularity does not, of course, make the arguments wrong or even ineffectual. The man who premises a paradigm when arguing in its defense can nonetheless provide a clear exhibit of what scientific practice will be like for those who adopt the new view of nature. That exhibit can be immensely persuasive, often compellingly so. Yet, whatever its force, the status of the circular argument is only that of persuasion. It cannot be made logically or even probabilistically compelling for those who refuse to step into the circle. The premises and values shared by the two parties to a debate over paradigms are not sufficiently extensive for that. As in political revolutions, so in paradigm choice—there is no standard higher than the assent of the relevant community. To discover how scientific revolutions are effected, we shall therefore have to examine not only the impact of nature and of logic, but also the techniques of persuasive argumentation effective within the quite special groups that constitute the community of scientists.

To discover why this issue of paradigm choice can never be, unequivocally settled by logic and experiment alone, we must shortly examine the nature of the differences that separate the proponents of a traditional paradigm from their revolutionary successors. That examination is the principal object of this section and the next. We have, however, already noted numerous examples of such differences, and no one will doubt that history can supply many others. What is more likely to be doubted than their existence—and what must therefore be considered first—is that such examples provide essential information about the nature of science. Granting that paradigm rejection has been a historic fact, does it illuminate more than human credulity and confusion? Are there intrinsic reasons why the assimilation of either a new sort of phenomenon or a new scientific theory must demand the rejection of an older paradigm?

First notice that if there are such reasons, they do not derive from the logical structure of scientific knowledge. In principle, a new phenomenon might emerge without reflecting destructively upon any part of past scientific practice. Though discovering life on the moon would today

be destructive of existing paradigms (these tell us things about the moon that seem incompatible with life's existence there), discovering life in some less well-known part of the galaxy would not. By the same token, a new theory does not have to conflict with any of its predecessors. It might deal exclusively with phenomena not previously known, as the quantum theory deals (but, significantly, not exclusively) with subatomic phenomena unknown before the twentieth century. Or again, the new theory might be simply a higher level theory than those known before, one that linked together a whole group of lower level theories without substantially changing any. Today, the theory of energy conservation provides just such links between dynamics, chemistry, electricity, optics, thermal theory, and so on. Still other compatible relationships between old and new theories can be conceived. Any and all of them might be exemplified by the historical process through which science has developed. If they were, scientific development would be genuinely cumulative. New sorts of phenomena would simply disclose order in an aspect of nature where none had been seen before. In the evolution of science new knowledge would replace ignorance rather than replace knowledge of another and incompatible sort.

Of course, science (or some other enterprise, perhaps less effective) might have developed in that fully cumulative manner. Many people have believed that it did so, and most still seem to suppose that cumulation is at least the ideal that historical development would display if only it had not so often been distorted by human idiosyncrasy. There are important reasons for that belief. In Section X we shall discover how closely the view of science-as-cumulation is entangled with a dominant epistemology that takes knowledge to be a construction placed directly upon raw sense data by the mind. And in Section XI we shall examine the strong support provided to the same historio-graphic schema by the techniques of effective science pedagogy. Nevertheless, despite the immense plausibility of that ideal image, there is increasing reason to wonder whether it can possibly be an image of *science*. After the pre-paradigm period the assimilation of all new theories and of almost all new sorts of phenomena has in fact demanded the destruction of a prior paradigm and a consequent conflict between competing schools of scientific thought. Cumulative acquisition of unanticipated novelties proves to be an almost non-existent exception to the rule of scientific development. The man who takes historic fact seriously must suspect that science does not tend toward the ideal that our image of its cumulateness has suggested. Perhaps it is another sort of enterprise.

If, however, resistant facts can carry us that far, then a second look at the ground we have already covered may suggest that cumulative acquisition of novelty is not only rare in fact but improbable in principle. Normal research, which *is* cumulative, owes its success to the ability of scientists regularly to select problems that can be solved with conceptual and instrumental techniques close to those already in existence. (That is why an excessive concern with useful problems, regardless of their relation to existing knowledge and technique, can so easily inhibit scientific development.) The man who is striving to solve a problem defined by existing knowledge and technique is not, however, just looking around. He knows what he wants to achieve, and he designs his instruments and directs his thoughts accordingly. Unanticipated novelty, the new discovery, can emerge only to the extent that his anticipations about nature and his instruments prove wrong. Often the importance of the resulting discovery will itself be proportional to the extent and stubbornness of the anomaly that foreshadowed it. Obviously,

then, there must be a conflict between the paradigm that discloses anomaly and the one that later renders the anomaly law-like. The examples of discovery through paradigm destruction examined in Section VI did not confront us with mere historical accident. There is no other effective way in which discoveries might be generated.

The same argument applies even more clearly to the invention of new theories. There are, in principle, only three types of phenomena about which a new theory might be developed. The first consists of phenomena already well explained by existing paradigms, and these seldom provide either motive or point of departure for theory construction. When they do, as with the three famous anticipations discussed at the end of Section VII, the theories that result are seldom accepted, because nature provides no ground for discrimination. A second class of phenomena consists of those whose nature is indicated by existing paradigms but whose details can be understood only through further theory articulation. These are the phenomena to which scientists direct their research much of the time, but that research aims at the articulation of existing paradigms rather than at the invention of new ones. Only when these attempts at articulation fail do scientists encounter the third type of phenomena, the recognized anomalies whose characteristic feature is their stubborn refusal to be assimilated to existing paradigms. This type alone gives rise to new theories. Paradigms provide all phenomena except anomalies with a theory-determined place in the scientist's field of vision.

But if new theories are called forth to resolve anomalies in the relation of an existing theory to nature, then the successful new theory must somewhere permit predictions that are different from those derived from its predecessor. That difference could not occur if the two were logically compatible. In the process of being assimilated, the second must displace the first. Even a theory like energy conservation, which today seems a logical superstructure that relates to nature only through independently established theories, did not develop historically without paradigm destruction. Instead, it emerged from a crisis in which an essential ingredient was the incompatibility between Newtonian dynamics and some recently formulated consequences of the caloric theory of heat. Only after the caloric theory had been rejected could energy conservation become part of science. And only after it had been part of science for some time could it come to seem a theory of a logically higher type, one not in conflict with its predecessors. It is hard to see how new theories could arise without these destructive changes in beliefs about nature. Though logical inclusiveness remains a permissible view of the relation between successive scientific theories, it is a historical implausibility.

A century ago it would, I think, have been possible to let the case for the necessity of revolutions rest at this point. But today, unfortunately, that cannot be done because the view of the subject developed above cannot be maintained if the most prevalent contemporary interpretation of the nature and function of scientific theory is accepted. That interpretation, closely associated with early logical positivism and not categorically rejected by its successors, would restrict the range and meaning of an accepted theory so that it could not possibly conflict with any later theory that made predictions about some of the same natural phenomena. The best-known and the strongest case for this restricted conception of a scientific theory emerges in discussions of the relation between contemporary Einsteinian dynamics and the older dynamical equations that descend from Newton's *Principia*. From the viewpoint of this essay

these two theories are fundamentally incompatible in the sense illustrated by the relation of Copernican to Ptolemaic astronomy: Einstein's theory can be accepted only with the recognition that Newton's was wrong. Today this remains a minority view. ...

These characteristic shifts in the scientific community's conception of its legitimate problems and standards would have less significance to this essay's thesis if one could suppose that they always occurred from some methodologically lower to some higher type. In that case their effects, too, would seem cumulative. No wonder that some historians have argued that the history of science records a continuing increase in the maturity and refinement of man's conception of the nature of science. Yet the case for cumulative development of science's problems and standards is even harder to make than the case for cumulation of theories. The attempt to explain gravity, though fruitfully abandoned by most eighteenth-century scientists, was not directed to an intrinsically illegitimate problem; the objections to innate forces were neither inherently unscientific nor metaphysical in some pejorative sense. There are no external standards to permit a judgment of that sort. What occurred was neither a decline nor a raising of standards, but simply a change demanded by the adoption of a new paradigm. Furthermore, that change has since been reversed and could be again. In the twentieth century Einstein succeeded in explaining gravitational attractions, and that explanation has returned science to a set of canons and problems that are, in this particular respect, more like those of Newton's predecessors than of his successors. Or again, the development of quantum mechanics has reversed the methodological prohibition that originated in the chemical revolution. Chemists now attempt, and with great success, to explain the color, state of aggregation, and other qualities of the substances used and produced in their laboratories. A similar reversal may even be underway in electromagnetic theory. Space, in contemporary physics, is not the inert and homogenous substratum employed in both Newton's and Maxwell's theories; some of its new properties are not unlike those once attributed to the ether; we may someday come to know what an electric displacement is.

By shifting emphasis from the cognitive to the normative functions of paradigms, the preceding examples enlarge our understanding of the ways in which paradigms give form to the scientific life. Previously, we had principally examined the paradigm's role as a vehicle for scientific theory. In that role it functions by telling the scientist about the entities that nature does and does not contain and about the ways in which those entities behave. That information provides a map whose details are elucidated by mature scientific research. And since nature is too complex and varied to be explored at random, that map is as essential as observation and experiment to science's continuing development. Through the theories they embody, paradigms prove to be constitutive of the research activity. They are also, however, constitutive of science in other respects, and that is now the point. In particular, our most recent examples show that paradigms provide scientists not only with a map but also with some of the directions essential for map-making. In learning a paradigm the scientist acquires theory, methods, and standards together, usually in an inextricable mixture. Therefore, when paradigms change, there are usually significant shifts in the criteria determining the legitimacy both of problems and of proposed solutions.

That observation returns us to the point from which this section began, for it provides our first

explicit indication of why the choice between competing paradigms regularly raises questions that cannot be resolved by the criteria of normal science. To the extent, as significant as it is incomplete, that two scientific schools disagree about what is a problem and what a solution, they will inevitably talk through each other when debating the relative merits of their respective paradigms. In the partially circular arguments that regularly result, each paradigm will be shown to satisfy more or less the criteria that it dictates for itself and to fall short of a few of those dictated by its opponent. There are other reasons, too, for the incompleteness of logical contact that consistently characterizes paradigm debates. For example, since no paradigm ever solves all the problems it defines and since no two paradigms leave all the same problems unsolved, paradigm debates always involve the question: Which problems is it more significant to have solved? Like the issue of competing standards, that question of values can be answered only in terms of criteria that lie outside of normal science altogether, and it is that recourse to external criteria that most obviously makes paradigm debates revolutionary. Something even more fundamental than standards and values is, however, also at stake. I have so far argued only that paradigms are constitutive of science. Now I wish to display a sense in which they are constitutive of nature as well.

## **X. Revolutions as Changes of World View**

Examining the record of past research from the vantage of contemporary historiography, the historian of science may be tempted to exclaim that when paradigms change, the world itself changes with them. Led by a new paradigm, scientists adopt new instruments and look in new places. Even more important, during revolutions scientists see new and different things when looking with familiar instruments in places they have looked before. It is rather as if the professional community had been suddenly transported to another planet where familiar objects are seen in a different light and are joined by unfamiliar ones as well. Of course, nothing of quite that sort does occur; there is no geographical transplantation; outside the laboratory everyday affairs usually continue as before. Nevertheless, paradigm changes do cause scientists to see the world of their research-engagement differently. In so far as their only recourse to that world is through what they see and do, we may want to say that after a revolution scientists are responding to a different world.

It is as elementary prototypes for these transformations of the scientist's world that the familiar demonstrations of a switch in visual gestalt prove so suggestive. What were ducks in the scientist's world before the revolution are rabbits afterwards. The man who first saw the exterior of the box from above later sees its interior from below. Transformations like these, though usually more gradual and almost always irreversible, are common concomitants of scientific training. Looking at a contour map, the student sees lines on paper, the cartographer a picture of a terrain. Looking at a bubble-chamber photograph, the student sees confused and broken lines, the physicist a record of familiar sub-nuclear events. Only after a number of such transformations of vision does the student become an inhabitant of the scientist's world, seeing what the scientist sees and responding as the scientist does. The world that the student then enters is not, however, fixed once and for all by the nature of the environment, on the one hand, and of science, on the other. Rather, it is determined jointly by the environment and the particular

normal-scientific tradition that the student has been trained to pursue. Therefore, at times of revolution, when the normal-scientific tradition changes, the scientist's perception of his environment must be re-educated—in some familiar situations he must learn to see a new gestalt. After he has done so the world of his research will seem, here and there, incommensurable with the one he had inhabited before. That is another reason why schools guided by different paradigms are always slightly at cross-purposes.

In their most usual form, of course, gestalt experiments illustrate only the nature of perceptual transformations. They tell us nothing about the role of paradigms or of previously assimilated experience in the process of perception. But on that point there is a rich body of psychological literature, much of it stemming from the pioneering work of the Hanover Institute. An experimental subject who puts on goggles fitted with inverting lenses initially sees the entire world upside down. At the start his perceptual apparatus functions as it had been trained to function in the absence of the goggles, and the result is extreme disorientation, an acute personal crisis. But after the subject has begun to learn to deal with his new world, his entire visual field flips over, usually after an intervening period in which vision is simply confused. Thereafter, objects are again seen as they had been before the goggles were put on. The assimilation of a previously anomalous visual field has reacted upon and changed the field itself. Literally, as well as metaphorically, the man accustomed to inverting lenses has undergone a revolutionary transformation of vision.

The subjects of the anomalous playing-card experiment discussed in Section VI experienced a quite similar transformation. Until taught by prolonged exposure that the universe contained anomalous cards, they saw only the types of cards for which previous experience had equipped them. Yet once experience had provided the requisite additional categories, they were able to see all anomalous cards on the first inspection long enough to permit any identification at all. Still other experiments demonstrate that the perceived size, color, and so on, of experimentally displayed objects also varies with the subject's previous training and experience.<sup>2</sup> Surveying the rich experimental literature from which these examples are drawn makes one suspect that something like a paradigm is prerequisite to perception itself. What a man sees depends both upon what he looks at and also upon what his previous visual-conceptual experience has taught him to see. In the absence of such training there can only be, in William James's phrase, "a bloomin' buzzin' confusion."

In recent years several of those concerned with the history of science have found the sorts of experiments described above immensely suggestive. N. R. Hanson, in particular, has used gestalt demonstrations to elaborate some of the same consequences of scientific belief that concern me here.<sup>3</sup> Other colleagues have repeatedly noted that history of science would make better and more coherent sense if one could suppose that scientists occasionally experienced shifts of perception like those described above. Yet, though psychological experiments are suggestive, they cannot, in the nature of the case, be more than that. They do display characteristics of perception that *could* be central to scientific development, but they do not demonstrate that the careful and controlled observation exercised by the research scientist at all partakes of those characteristics. Furthermore, the very nature of these experiments makes any direct demonstration of that point impossible. If historical example is to make these

psychological experiments seem relevant, we must first notice the sorts of evidence that we may and may not expect history to provide.

The subject of a gestalt demonstration knows that his perception has shifted because he can make it shift back and forth repeatedly while he holds the same book or piece of paper in his hands. Aware that nothing in his environment has changed, he directs his attention increasingly not to the figure (duck or rabbit ) but to the lines on the paper he is looking at. Ultimately he may even learn to see those lines without seeing either of the figures, and he may then say (what he could not legitimately have said earlier) that it is these lines that he really sees but that he sees them alternately as a duck and as a rabbit. By the same token, the subject of the anomalous card experiment knows (or, more accurately, can be persuaded) that his perception must have shifted because an external authority, the experimenter, assures him that regardless of what he *saw*, he was *looking at* a black five of hearts all the time. In both these cases, as in all similar psychological experiments, the effectiveness of the demonstration depends upon its being analyzable in this way. Unless there were an external standard with respect to which a switch of vision could be demonstrated, no conclusion about alternate perceptual possibilities could be drawn.

With scientific observation, however, the situation is exactly reversed. The scientist can have no recourse above or beyond what he sees with his eyes and instruments. If there were some higher authority by recourse to which his vision might be shown to have shifted, then that authority would itself become the source of his data, and the behavior of his vision would become a source of problems (as that of the experimental subject is for the psychologist). The same sorts of problems would arise if the scientist could switch back and forth like the subject of the gestalt experiments. The period during which light was "sometimes a wave and sometimes a particle" was a period of crisis— a period when something was wrong—and it ended only with the development of wave mechanics and the realization that light was a self-consistent entity different from both waves and particles. In the sciences, therefore, if perceptual switches accompany paradigm changes, we may not expect scientists to attest to these changes directly. Looking at the moon, the convert to Copernicanism does not say, "I used to see a planet, but now I see a satellite." That locution would imply a sense in which the Ptolemaic system had once been correct. Instead, a convert to the new astronomy says, "I once took the moon to be (or saw the moon as) a planet, but I was mistaken." That sort of statement does recur in the aftermath of scientific revolutions. If it ordinarily disguises a shift of scientific vision or some other mental transformation with the same effect, we may not expect direct testimony about that shift. Rather we must look for indirect and behavioral evidence that the scientist with a new paradigm sees differently from the way he had seen before.

Let us then return to the data and ask what sorts of transformations in the scientist's world the historian who believes in such changes can discover. Sir William Herschel's discovery of Uranus provides a first example and one that closely parallels the anomalous card experiment. On at least seventeen different occasions between 1690 and 1781, a number of astronomers, including several of Europe's most eminent observers, had seen a star in positions that we now suppose must have been occupied at the time by Uranus. One of the best observers in this group had actually seen the star on four successive nights in 1769 without noting the motion

that could have suggested another identification. Herschel, when he first observed the same object twelve years later, did so with a much improved telescope of his own manufacture. As a result, he was able to notice an apparent disk-size that was at least unusual for stars. Something was awry, and he therefore postponed identification pending further scrutiny. That scrutiny disclosed Uranus' motion among the stars, and Herschel therefore announced that he had seen a new comet! Only several months later, after fruitless attempts to fit the observed motion to a cometary orbit, did Lexell suggest that the orbit was probably planetary. When that suggestion was accepted, there were several fewer stars and one more planet in the world of the professional astronomer. A celestial body that had been observed off and on for almost a century was seen differently after 1781 because, like an anomalous playing card, it could no longer be fitted to the perceptual categories (star or comet) provided by the paradigm that had previously prevailed.

The shift of vision that enabled astronomers to see Uranus, the planet, does not, however, seem to have affected only the perception of that previously observed object. Its consequences were more far-reaching. Probably, though the evidence is equivocal, the minor paradigm change forced by Herschel helped to prepare astronomers for the rapid discovery, after 1801, of the numerous minor planets or asteroids. Because of their small size, these did not display the anomalous magnification that had alerted Herschel. Nevertheless, astronomers prepared to find additional planets were able, with standard instruments, to identify twenty of them in the first fifty years of the nineteenth century. The history of astronomy provides many other examples of paradigm-induced changes in scientific perception, some of them even less equivocal. Can it conceivably be an accident, for example, that Western astronomers first saw change in the previously immutable heavens during the half-century after Copernicus' new paradigm was first proposed? The Chinese, whose cosmological beliefs did not preclude celestial change, had recorded the appearance of many new stars in the heavens at a much earlier date. Also, even without the aid of a telescope, the Chinese had systematically recorded the appearance of sunspots centuries before these were seen by Galileo and his contemporaries. Nor were sunspots and a new star the only examples of celestial change to emerge in the heavens of Western astronomy immediately after Copernicus. Using traditional instruments, some as simple as a piece of thread, late sixteenth-century astronomers repeatedly discovered that comets wandered at will through the space previously reserved for the immutable planets and stars. The very ease and rapidity with which astronomers saw new things when looking at old objects with old instruments may make us wish to say that, after Copernicus, astronomers lived in a different world. In any case, their research responded as though that were the case.

The preceding examples are selected from astronomy because reports of celestial observation are frequently delivered in a vocabulary consisting of relatively pure observation terms. Only in such reports can we hope to find anything like a full parallelism between the observations of scientists and those of the psychologist's experimental subjects. But we need not insist on so full a parallelism, and we have much to gain by relaxing our standard. If we can be content with the everyday use of the verb 'to see,' we may quickly recognize that we have already encountered many other examples of the shifts in scientific perception that accompany paradigm change.