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6 Mental Phenomena as Causal Determinants in Brain Function

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The central concepts concerning consciousness that I shall try to defend have already been presented in some detail (Sperry, 1952, 1964, 1965). Accordingly, I shall review them only in brief outline, devoting the bulk of the discussion to various peripheral aspects and implications that previously have had less emphasis. At the outset let me make it clear that when I refer to consciousness I mean that kind of experience that is lost when one faints or sinks into a coma. It is the subjective experience that is lacking during dreamless sleep, that may be obliterated by a blow on the head, by anoxia, or by pressure on the inner walls of the third ventricle during brain surgery. On the positive side we can include as conscious events the various sensations elicitable by a local electric current applied to the unanesthetized brain, or the pain of a phantom amputated limb, as well as most of our waking subjective experience, including self-consciousness.

I want to emphasize, however, that I shall not be concerned particularly with *self*-consciousness any more than with the conscious-

ness of other selves, or with that of external objects, situations and events; <code>self-consciousness</code> is a separate story in itself. Nor shall I be trying to define different forms of consciousness, nor intermediate states between full awareness and the <code>subconscious</code> or the <code>unconscious</code>. My arguments can all be referred to some clearly accepted and simple example of conscious experience, like seeing red, or hearing a musical tone, or feeling pain. The problem is difficult enough in its simplest and clearest formulation without introducing the confusion of border-line states. I assume that, if we can find an answer to the mind-brain problem in its simplest form, we shall then be able to apply the basic concepts to its more complex aspects.

For the sake of further clarification, let me specify that I shall address myself throughout to the problem of the nature of consciousness and the mind-brain relation as it presents in other people's brains primarily, rather than in my own brain. This, it is hoped, will avoid various logical entanglements that otherwise arise. This starting move is based, of course, on the assumption that other people's brains do have consciousness much like my own. Those who are not willing to accept this assumption have, I suspect, a separate problem all their own. I am not trying by this step to avoid entirely questions concerning the privacy of conscious experience. A number of different approaches to this important privacy, or first-person, property of consciousness are recognized, and I will try to outline later, in context, the explanation to which my own position leads.

and trees and all things in the universe are held to possess consciouscorrelate consciousness with language particularly. Finally, it is in phenomena are identical with the neural events. This view does not and epistemological gymnastics that would make it just a pseudoprobours does not belong among positions based on dualism, epiphenodisagreement with the position known as panpsychism in which rocks "identity theory," that version of materialism which holds that mental material brain process. It is further distinguishable from the so-called pretation of subjective experience as just an inner aspect of the one dialectic varieties. Our position does not accord either with the interbypass the traditional materialism of the hard-core reductionistic and behaviorist refusal to consider the problem, and various sophistries menalism, or other parallelisms. We can bypass as well the radical ation is to compare it broadly with others. We can start by saying that lem or explain it away as unimportant or nonexistent. We can also Perhaps the quickest way to center in on our current interpret

> electrical field forces or volume-conduction effects, or any metaneuschool in psychology. It differs from these in several respects: first, the other emergent theories advanced previously, mainly by the Gestall as an "emergent" theory of mind that needs to be distinguished from course of brain events; that is, the mental forces or properties exert a of brain activity is safe as far as it goes, but this term fails to connote correlations (Sperry, 1952). Reference to "spatiotemporal patterning" processes operate and interact, rather than in terms of isomorphic conceived the mental properties to be functional derivatives that get perceptual experience and corresponding events in the brain. I have an isomorphic or topological correspondence between the events of Sperry & Miner, 1955). Second, there is no assumption of the need for neural-circuit and related physiological properties (Sperry, 1952; 1953; ronal by-product of cerebral activity. Our view relies on orthodox phenomena of subjective experience are not thought to be derived from scious experience on these terms becomes an integral part of the brain regulative control influence in brain physiology. The subjective conpresent view are interpreted to have causal potency in regulating the to emphasize. Third, the conscious subjective properties in our the operational derivation of the conscious properties that I have tried their meaning from the way in which the brain circuits and related are direct causal emergents of the brain process. dualism or other parallelism in the traditional sense. The mental forces rather than correlates. In this respect our view can be said to involve a (Köhler and Held, 1949) and others. The mental events are causes process, rather than a correlated phenomenon as conceived by Köhler form of mental interactionism, except that there is no implication of On the positive side our present view can be classified broadly

When I initially stated this view in 1965 one had to search a long way in philosophy, and especially in science, to find anyone who would put into writing that mental forces or events are capable of causing physical changes in an organism's behavior or its neurophysiology. With rare exceptions writings in behavioral science dealing with perception, imagery, emotion, cognition, and various other mental phenomena were very cautiously phrased to conform with prevailing materialist-behaviorist doctrine. Care was taken to be sure that the subjective phenomena should not be implied to be more than passive correlates or inner aspects of brain events, and especially to avoid any implication that the mental phenomena might interact causally with the

closely related positions on these matters, and one must go back to the "pre-'65" versions in order to make clear distinctions. Today it becomes increasingly difficult to differentiate some of the has been able to gain popular acceptance as an explanatory construct gan to decline. It is only since then that mental imagery, for example, nation, the long-standing resistance to mental-physical interaction bemise formulation that does not violate the principles of scientific explahow mental events can causally influence neural events in a comprolittle heed was paid them in behavioral science. Once we could show theory of psychophysical interaction were such extreme dualists that physical brain process. Those few who did subscribe earlier to the

## COMPARISON WITH IDENTITY THEORY

interpretation. I say this despite the declaration of Feigl (1967) that, materialism, including identity theory, to encompass the emergent dicating that it would not be difficult to stretch either mentalism or compromise between dualistic mentalism and pre-'65 materialism, in-Our "emergent interactionist" position was described as a

not illogical!) exercise within the frame of an untenable presupposition. then most of my reflections will be reduced to the status of a logical (I hope another form of emergentism (or—horrible dictu!—dualistic interactionism). If future scientific research should lead to the adoption of one or

more than the neural events of which they are composed. understood, they will be best conceived of as being different from and be discovered. We predict that, once they have been discovered any form. They are holistic configurational properties that have yet to special mental properties have not been described objectively as yet in ties that I think of as the mental properties of the brain process. These science and philosophy, hardly included the holistic conscious propergeneral the term "neural events," as this term had been used thus far in seem to comprise the subsystems of any given neural event, nor did I those that lack consciousness, as in the cerebellum or spinal cord. In find a distinction between neural events that involve consciousness and distinguish the conscious from the many nonconscious properties that I was unable to find in pre-'65 identity theory anything to

given due recognition as phenomena in their own right. Rather thar all the other phenomena of the world of inner mental experience are In our own view, colors, sounds, sights, taste, smell, pain, and

> being identical to the neural events, as is generally understood, they are emergents of these events. To say that the mental experience is identical H<sub>2</sub>O and other molecules. upcoming ninth wave at Laguna is nothing but another uplift and fall of their atomistic and electron-proton events, etc. It is like saying that the that compose it, or that these chemical events are in turn identical to the physiological brain process is itself identical to the chemical events to the brain process is analogous, in our interpretation, to saying that

of all entities. It is a pragmatic interpretation of what is real and importance in causation and in determining the nature and properties likes to give prior, or even sole, recognition. This is to say, that the tant as the properties of the parts to which the reductionist position phenomena, and that these and their causal potency are just as imporrelationships of the parts to each other in time and space are of critical meaningtul. I take the stand that wholes and their properties are real

constituent parts of a system have in themselves important causal terms of essentially nothing. Let me repeat that the thing to remember always explain the whole in terms of the parts leads to an infinite of subsystems at a different level. The reductionist approach that would efficacy over and above the properties of the parts per se. their surroundings, the spatial and the temporal relationships of the in this connection is that, in the causal interplay between systems and regress in which eventually everything is held to be explainable in that the properties of the parts are themselves in turn holistic properties important as are the properties of the parts, it may help to recognize In trying to see that the pattern properties are just as real and

supersede those of the parts in determining the causal consequences. stones happens to be piled together. When hit by a car or jiggled by an entity with very different properties depending on how the given set of earthquake, different patterns of the whole may exhibit properties that time for any given entity can be reduced to the properties of the parts There is no way in which the relationships of the parts in space and Even a pile of stones (Wimsatt, 1971) will be a very different

### A SIMPLE APPROACH

the brain's physiology can be understood very simply in terms of the The way in which mental phenomena are conceived to control

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chain of command in the brain's hierarchy of causal controls (Sperry, 1965). It is easy to see that the forces operating at subatomic and subnuclear levels within brain cells are molecule-bound, and are superseded by the encompassing configurational properties of the brain molecules in which the subatomic elements are embedded; that is, the nuclear and other subatomic elements are pushed and hauled about in chemical interactions by the enveloping molecular properties. In the same way the properties of the brain molecules are enveloped by the dynamics of cellular organization, and the properties of the brain cells are in turn superseded by the larger network properties of the circuit systems in which they are embedded.

At the apex of the brain's organizational hierarchy are found the large cerebral processes that mediate mental activity. These large cerebral events as entities have their own dynamics and associated properties that causally determine their interactions. These top-level systems' properties supersede those of the various subsystems they embody.

Only *some* of the dynamic holistic properties that emerge in the higher levels of cerebral activity are conscious phenomena. Many others are not, even though the unconscious activities may in some cases be equally or more complex. Complexity alone is not, in our scheme, the source of the conscious qualities (Sperry, 1966). It is the operational function rather than the complexity of any given cerebral process that determines its conscious effect.

In this respect my interpretation differs from that of Teilhard de Chardin (1959). Consciousness in my view is strictly a property of brain circuits specifically designed to produce the particular conscious effects obtained from different brain regions. On these terms I see no way in which the consciousness of individuals could become coalesced into a megaconscious experience of humanity as a whole, nor any way in which the consciousness of one brain could influence that of another by a metaphysical route.

As is the case for most, or all, part—whole relationships, a mutual interdependence is recognized to exist between the neural events and the emergent mental phenomena. In other words, the brain physiology determines the mental effects and the mental phenomena in turn have causal influence on the neurophysiology. The interjection of subjective mental experience into the causal sequence of decision making on these terms brings a compromise, not only between materialism and mentalism, but also between the positions of determinism and free will. Determinism of this kind, in which subjective experience is included as a causal agent in brain function, allows degrees of freedom in

any voluntary choice far above that envisaged in traditional materialism or atomistic determinism.

the uninjured left foot when it is there, or otherwise at the amputation may yip or squeak and will turn to lick, not at the sore right foot, but at the result of an extra-hard impact or abrasion to the right foot, the rat additional pressure and trauma on the sore right foot. Occasionally, as Such a sore on the right foot heals very slowly, despite antibiotics, right leg in the fourth week after birth as a test of central nervous surgical cross-union of the sciatic nerve and its branches from left to switch in nerve connections from left to right foot is brought about by the wrong foot from which the pain seems to come and thereby putting because these rats walk around on three legs protectively holding up trophic sores to develop in the right foot while it is being reinnervated. insensitive foot on the left, and there is also a tendency for cutaneous Occasionally the animals will "instinctively" chew off the denervated plasticity and the functional interchangeability of nerve connections. nerves that originally had supplied the left foot (Sperry, 1943). The are rats in which the right hindfoot has become reinnervated by foreign present purposes let us make it more specifically the pain of a phantom subjective pain as it is referred to an amputated limb (Sperry, 1965). For hindfoot in one of our experimental "sensory nerve cross" rats. These left foot that is produced by stimulation of a sore toe in the opposite I have tried to tie these general principles to the example of

I choose this example to emphasize, among other things, my assumption that conscious experience is not restricted to the human species. Self-consciousness is another matter, of course, and may well be limited mainly to man with some beginnings in the higher subhuman forms. The experimental rat's false reference of pain to the amputated left foot persists throughout life, and this example thus serves to reinforce our view that the basic circuit properties responsible for conscious experience are largely determined genetically (Sperry, 1969). They may have evolved initially around sensory functions and/or around a primitive awareness with positive and negative reinforcement functions.

The main point to be brought out with this example is the contention that the animal's responses in protectively holding up the wrong foot and in yipping and licking the wrong foot are caused directly in brain function by the subjective pain property itself, rather than by the physiology of the nerve impulses or by the chemical, atomistic, or other subunit features of the brain process. The pain sensation is considered to be a real emergent phenomenon in itself.

possible eventually as our knowledge of brain mechanisms continues to enon, or of other conscious events, one assumes that this will be an adequate description of the neural composition of the pain phenom-Although our neurophysiology is not yet sufficiently advanced to give process would not be complete without including the pain as such other words, a full objective account of the whole stimulus-response role as a phenomenon itself in the stimulus-response sequence. In real dynamic entity in the brain activity that has an important causal mere parallel correlate of the brain process. Rather, I look upon it as a Although built of neural events, and possibly of glial events as well, the pain sensation as a larger whole is not itself the same as the constituent neural and glial events. Nor is the subjective pain to be viewed as a

# THE BISECTED BRAIN AND UNITY OF CONSCIOUSNESS

brain animal and man behave as if each of the separated hemispheres nature of the test task. In these and in many other respects, the splitperception, comprehension, and in some cases nonverbal memory, of which the speaking hemisphere remains unaware obviously involve ances of the disconnected partner hemisphere. These test performances aware of the concomitant or immediately preceding mental performdominant hemisphere further reports verbally that it is not consciously cut off from the conscious experience of the other. In man the languageceive, learn, and remember independently, each hemisphere evidently separated hemispheres of animals and man have been shown to perhad a mind of its own. reasoning, and concept formation of different kinds depending on the two decades (Sperry, 1961, 1966, 1968, 1970a, 1973), the surgically person, and personal identity. In our "split-brain" studies of the past ness" in connection with problems relating to the nature of the self, the Philosophy has been concerned with the "unity of conscious-

sphere of the brain must have a mind of its own, not only after surgery ical interpretations. One line of reasoning concludes that each hemimutually contradictory, has been subject to several different philosophis interpreted to be a compound of two persons, one based in each but also in the normal intact state as well; that is, the normal individual ence that exist in parallel, and in some cases have content that is conscious awareness into two distinct domains of conscious experi-This division by surgery of the normally unified realm of

> (Nagel, 1971). ness is not centered in either right or left hemisphere, but in some It is inferred that the disconnected minor hemisphere operates like an scious (Eccles, 1970), and thus the unity of consciousness is preserved intact brain stem. There are additional variations on these main themes unified metaorganizing system (MacKay, 1966), presumably in the automaton or complex computer. Another view holds that conscioussays that only one, the language-dominant hemisphere, remains conhemisphere (Bogen, 1969; Puccetti, 1973). A contrasting interpretation

each of us in the normal state operates with two distinct right and left still lives! At the other extreme, another of our members would deny domains of conscious awareness. minor hemisphere of the human brain (Eccles, 1970). Others claim that conferees (like Whitehead, Waddington, and others) maintains that supported here and currently among our colleagues. At least one of our conscious experience, not only to rocks and plants, but even to the rocks have consciousness (Globus, 1973). In other words, panpsychism consciousness is nicely illustrated in the diversity of positions seriously The state of our progress in understanding the nature of

tion does not exclude the possibility that the conscious processes in lef to depress commissural function. under exceptional conditions, and particularly where pathology tends and right hemispheres may function separately in the undivided brain conscious effects are confined to grey-matter dynamics. This interpretamatter neural events from consciousness, or, in other words, that sphere. I know of no evidence as yet that says we must exclude whitethose uniting front and back or other areas within the same hemias being not essentially different in their relation to consciousness from event. The fiber systems uniting right and left hemispheres are viewed unified process. The callosal activity thus becomes part of the conscious under normal conditions that in effect serves to tie the conscious credit the neocommissures with a unifying role in conscious activity function of the hemispheres together across the midline into a single nature and level of the particular conscious process in question. I would on the depth and extent of the surgery, and depending also on the the normal brain but largely divided in the bisected brain, depending My own inclination is to see consciousness as being unified in

about self-consciousness. It remains to be determined how much, creation of two distinct domains of consciousness. This says nothing any, self-consciousness is present in the disconnected minor hemibisections we perform in animals, I have interpreted as resulting in the Surgical separation of the hemispheres, especially the deeper

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displays in different contexts conscious reactions to pictures of itself, showing appropriate emotional sphere of man. However, preliminary findings from experiments in disconnected minor hemisphere does in fact exhibit characteristic selfprogress in collaboration with Zaidel support the conclusion that the

conscious experience. This is assured in part by bilateral sensory unified "whole-face" experiences in each hemisphere are cut off from facial sensibility. We presume, however, by extrapolation, that these representation in each hemisphere as is the case, for example, with bisected brain of a right-left unity in some aspects and levels of their counterparts in the opposite hemisphere. Our interpretation does not preclude a retention in the

conscious content is clearly divided. stay unified in the split brain, even in those tests where the bulk of the and which predominate in the kinds of test tasks we employ. However, and striking aspects of consciousness that are separated by the surgery and/or brain stem mechanisms, remain intact (Sperry, 1965, 1968, 1973). commissurotomy, while others, united through bilateral representation such that some aspects of conscious experience may be separated by possibility remains that some elemental components of consciousness I have also tried to stress the presence of many unifying factors. The In most of our work we have naturally emphasized the more interesting The structure of the conscious cerebral process is inferred to be

commissurotomy. its division down the vertical midline that is produced by midline example, the normally unified perception of the whole visual field and the brain to a direct grip on psychoneural relations. Consider, for mechanisms on either side, we probably come as close as anywhere in conscious process, one would have to include the associated activity on order to properly comprehend the critical holistic properties of the callosum becomes part of the conscious brain process. However, in both sides. In the callosal fiber systems and those associated cortical On these terms, neural activity transmitted through the corpus

their respective roles in the generation of conscious experience the neural mechanisms that are divided and those that are not, and needed is better understanding of the functional relationships between many "minds" or "persons" are present in the bisected brain. What is makes little sense, employing past definitions, to argue about how will have to be redefined, or at least more precisely defined. Already it advances, one would anticipate that terms like "mind" and "person" As knowledge of brain function and the mind-brain relation

> essential substructure constituents of the conscious experience. Particuor may not have any conscious properties in themselves, but which are undivided brain stem and perhaps cerebellar components, which may neural events, I infer that the neural mechanisms from which the phenomena are conceived to be determined by-and built fromneural mechanisms of attention. larly important among the undivided brain stem components are the mental effects in each hemisphere are generated may have common Following our present emergent approach in which mental

course, remain intact in the human commissurotomy patients. upon intact brain stem mechanisms that are in part bilateral and, of a bilateral surround, and presumably its functional correlates. Each hemispheric representation is based in and functionally dependent nected hemisphere retains the anatomical substrate for a unified self in vision, but the ipsilateral half of space is not absent. Thus each disconally represented. It is much better for the contralateral side, especially in fainter and more crudely depicted. The external surround also is bilaterbody schema in which the ipsilateral limb extremities are present, but hemisphere. Each hemisphere contains the representation of a bilateral containing a common stem with left and right upper arms in each mind after cerebral commissurotomy it would be crudely Y-shaped, Thus if one were to diagram schematically the structure of

separating the conscious from the unconscious neural events-aside and those that do not? The answer is that we do not picture anything among the higher cerebral functions, what kind of boundary or interthe more central conscious portion of the total activity? Similarly, is imagined to be interposed between the two. from organizational coherence. No interface or other definite boundary face do we picture between processes that have conscious properties sensory input on the one side and the motor output on the other from given stimulus-response sequence, what separates the nonconscious process from its lower level nonconscious foundations. Also, for any One can ask what separates the conscious part of the brain

the conscious process may be interwoven with, and may share active activity, but because it functions organizationally as a unit. Presumably conscious entity, not because it is spatially set apart from other cerebral in the dynamics of larger neural events. A cerebral process acts as a other interface, but only that of smaller neural events being caught up that of an enveloping surface film or electrical potential difference or ing or enveloping the constituent neural events, the implication is not Although the holistic properties are spoken of as encompass

which have yet to be elucidated, especially for the upper, conscious network and cerebral-circuit interactions, the emergent dynamics of spatial, volume, or dimension terms but rather in terms of nerveawareness. The holistic properties are not to be conceived in simple components with, other brain processes that do not reach conscious

hand, each hemispheric component gets its own separate causal effect causal sequence of cerebral control. In the divided brain, on the other left hemispheric components combine and function as a unit in the and half in the right visual half-fields. In the normal brain the right and perception of a stimulus figure flashed tachistoscopically half in the left brain dynamics as a unit. This is illustrated in the unified visual nents, coalesced through commissural communication, function in rion for unity is an operational one; that is, the right and left componess become merged into a unified conscious brain process. The criteright and left upper arms of our schematized Y substrate of conscious-Normally, with the neocommissures intact, neural events in

### PRIVACY OF SUBJECTIVE EXPERIENCE

this connection (Sperry, 1969) to illustrate the kind of interaction that is example of a corpus-callosum-type of intercommunication system in our split-brain findings in animals and human patients, I have used the relation with the internal operations of the first brain. Reasoning from tion is not enough; the second brain must be in an intimately involved effects and internal relations of the observed brain. An observer relaobserved brain that would enable it to react to the internal operational would be through an intimate communication into the interior of the with and thereby experience the subjective qualities of another brain 1952, 1969). The only way an observer brain would be able to interact tional interactions of brain events in a matrix of brain activity (Sperry, subjective qualities, as I conceive them, derive from the selective operainvolving the nature of the causal relationships involved. The conscious tion of a representation (Globus, 1973), but for a more basic reason itself is not so much because this involves a second-order representaanother's subjective experience differs from the subjective experience reason, however, that an observer's understanding and description of nomena is not expected to be the same as the subjective description. The The objective description of pain or of other conscious phe-

> as these are traditionally conceived. to play a potent causal role in brain function that cannot be accounted bral processes, and further that these emergent phenomena will be seen expressible in terms of emergent holistic properties of high-order cereobjective descriptions are eventually achieved, they will be found to be phenomena of subjective experience. These descriptions are not yet, of an internal-combustion engine without being directly involved however, available. Essentially I was only predicting that, when these possible in principle to describe and understand in objective terms the the internal explosions, temperatures, and pressures, so it should be for in terms merely of the neurophysiologic and neurochemical events Just as it is possible to describe and understand the workings

see it, the conscious phenomena. The latter are distinct causal propernomena. While these may be the stuff of neural events, they are not, as I yet to be discovered—hardly to be identified with what has heretofore certain special types of cerebral events, unique as far as we know and ties that emerge only at upper levels of the brain hierarchy and with istry, plus all sorts of subatomic low- and high-energy physical pheincludes the physiology of nerve-impulse traffic, the underlying chemevent, or, preferably, a brain event or brain process, is many things: it not be misled into thinking of these emergents of neural events as being been termed the neural events. "nothing but" or "identical to" the neural events themselves. A neural nomena it will be helpful to keep the subjective qualities in mind and In arriving at an objective understanding of the mental phe-

significance of human value priorities in the context of mounting crisis importance on our present terms, especially in view of the critical has been rather neglected in philosophy of late but could take on new scientific explanation to value judgment (Sperry, 1972). Value theory 1971), and with the whole field of human values and the relation of and free will (Sperry, 1964, 1965), with the concept of causation (Pols, consequences in other areas of philosophy that deal with determinism the various differences involved. These differences have important stretch the materialist or mentalist approaches of 10 years ago to incorporate these emergent interaction concepts, it is important to recognize Although it is not difficult, as indicated (Sperry, 1970b), to

even aesthetic, spiritual and irrational, must now be recognized as ist views. Introduction of mental phenomena into the causal sequence of brain function means, among other things, that values of all kinds, determinism somewhat different from either the materialist or mentalcausal control agents in cerebral function yields a picture of scientific Our interpretation of the phenomena of inner experience as world crisis conditions. critical control role played by the human value factor in determining theoretically feasible, and a matter of top priority today considering the national, and international plane. A separate science of values becomes brain on up through the forces that mold priorities at the societal, that of the pleasure-pain centers and other reinforcement systems of the tive scientific investigation and analysis. This applies at all levels, from the consequences of values all become amenable, in principle, to objecagents in human decision making. The origins, directive potency, and including the generation of values, can be treated as objective causal process comes to be understood objectively, all mental phenomena, brain, and through the brain onto the surrounding world. As the brain tive values become objective causal agents operating in the physical human values—a framework within which science can operate. Subjecbrain, and man in nature and points to a "this world" framework for Our current interpretation leads to a unifying concept of mind.

events had subjective properties. function just as well in terms of the neural events whether or not neural alistic or various parallelistic interpretations in which the brain would for being and for having been evolved. This is not true for the matericausal role in objective models of cerebral function, and thus a reason fact that conscious experience in this view is given an operational Some of the main implications can be seen to derive from the

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