

# JÜRGEN HABERMAS

**Communication  
and the  
Evolution  
of Society**

translated by Thomas McCarthy

German Texts: *Sprachpragmatik und Philosophie* and *Zur Rekonstruktion des Historischen Materialismus*: Copyright © 1976 by Suhrkamp Verlag, Frankfurt am Main.

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(hardcover) 9 8 7 6 5 4 3 2 1 (paperback) 9 8 7 6 5 4

"What is Universal Pragmatics?" was originally published as "Was heisst Universalpragmatik" in *Sprachpragmatik und Philosophie*, edited by Karl-Otto Apel, Suhrkamp, Verlag, 1976.

"Moral Development and Ego Identity," "Historical Materialism and the Development of Normative Structures," "Toward a Reconstruction of Historical Materialism," and "Legitimation Problems in the Modern State" were originally published as "Moralentwicklung und Ich-Identität," "Einleitung: Historischer Materialismus und die Entwicklung normativer Strukturen," "Zur Rekonstruktion des Historischen Materialismus," and "Legitimationsprobleme in modernen Staat," respectively, in *Zur Rekonstruktion des Historischen Materialismus*, by Jürgen Habermas, Suhrkamp Verlag, 1976.

Grateful acknowledgment is made to the following:

American Psychological Association and Jane Loevinger for permission to print the schema "Stages of Ego Development," from the article "The Meaning and Measurement of Ego Development," by Jane Loevinger, *American Psychologist*, Volume 21, No. 3, March 1966.

The Society for Research in Child Development, Inc., for permission to print the schema "Stages of Moral Consciousness," from the article "Conflict and Transition in Adolescent Moral Development," by Elliot Turiel, *Child Development*, 45 (1974).

Academic Press and Lawrence Kohlberg for permission to print the schema "Definition of Moral Stages," from the essay "From Is to Ought," by Lawrence Kohlberg, *Cognitive Development and Epistemology*, Theodore Mischel (ed.), New York, 1971

Library of Congress Cataloging in Publication Data

Habermas, Jürgen.

Communication and the evolution of society.

Includes bibliographical references and index.

1. Social evolution. 2. Pragmatics. 3. Historical materialism. 4. State, The. 5. Social sciences—Philosophy. I. Title.

HM106.H313 301.14 77-88324

ISBN 0-8070-1521-1

ISBN 0-8070-1513-X pbk.

## Translator's

## Introduction

Some twenty years ago Jürgen Habermas introduced his idea of a critical social theory that would be empirical and scientific without being reducible to empirical-analytic science, philosophical in the sense of critique but not of presuppositionless "first philosophy," historical without being historicist, and practical in the sense of being oriented to an emancipatory political practice but not to technological-administrative control.<sup>1</sup> Although these general features are still recognizable in his mature views on critical theory, the original conception has undergone considerable development. The essays translated in this volume provide an overview of the theoretical program that has emerged. Before sketching its main lines it might be well, by way of introduction, to review briefly Habermas' earlier discussions of social theory; for in these a number of important ideas that have since receded into the background or altogether disappeared from view are still clearly visible.

### I

A recurring theme of Habermas' writings in the late fifties and early sixties was that critique must somehow be located "between philosophy and science."<sup>2</sup> In his account of the transition from

the classical doctrine of politics to modern political science, Habermas noted a decisive shift in the conceptions of theory and practice and their interrelation.<sup>3</sup> For Aristotle politics was continuous with ethics, the doctrine of the good and just life. As such it referred to the sphere of human action, *praxis*, and was directed to achieving and maintaining an order of virtuous conduct among the citizens of the *polis*. The practical intention of politics, as well as the nature of its subject matter, determined its cognitive status: Politics could not assume the form of a rigorous science, of *episteme* but had to rest content with establishing rules of a more-or-less and in-most-cases character. The capacity thereby cultivated, and the keystone of the virtuous character, was *phronesis*, a prudent understanding of variable situations with a view to what was to be done.

With the rise of modern science the classical conception of politics was drastically altered. Theory came to mean the logically integrated systems of quantitatively expressed, lawlike statements characteristic of the most advanced sciences. Given a description of the relevant initial conditions, such theories could be used (within certain limits) to predict future states of a system; providing the relevant factors were manipulable, they could also be used to produce desired states of affairs. Adopting this ideal of knowledge for politics, Hobbes early outlined a program that took human behavior as the material for a science of man, society, and the state. On the basis of a correct understanding of the laws of human nature it would be possible to establish once and for all the conditions for a proper ordering of human life. The classical instruction in leading a good and just life, the formation of virtuous character, and the cultivation of practical prudence would be replaced by the application of a scientifically grounded social theory, by the production of the conditions that would lead to the desired behavior according to the laws of nature. In this way the sphere of the practical was absorbed into the sphere of the technical; the practical problem of the virtuous life of the citizens of the *polis* was transformed into the technical-administrative problem of regulating social intercourse so as to ensure the order and well-being of the citizens of the state.

In Habermas' view the principal loss incurred in this transition

was the replacement of a direct access to practice with a purely technological understanding of the theory-practice relationship; the principal gain was the introduction of scientific rigor into the study of society. Accordingly, the outstanding task for a post-positivist methodology of social inquiry was somehow to combine philosophical and practical moments with the methodological rigor, which was "the irreversible achievement of modern science."<sup>4</sup> Of course, the type of practical philosophy Habermas himself had in mind was not the classical Greek but that which developed in the movement of German thought from Kant through Marx; and the type of combination he envisaged was summed up in the phrase: "empirical philosophy of history with a practical (political) intent."

The presence of the term *philosophy* in this characterization of critical theory did not signal a basic disagreement with Marx's dictum that the demands and results of philosophy could be preserved only through "the negation of previous philosophy, of philosophy as philosophy." Habermas was not using the term in its traditional sense as a presuppositionless mode of thought that provided its own foundations. With Marx he regarded philosophy as belonging to the world on which it reflected and as having to return to it; the ideals inherent in philosophy—truth and reason, freedom and justice—could not be realized by thought itself. The philosophy of history, in particular, was marred by a failure to realize this. Pretending to a contemplative view of the whole of history, prospective as well as retrospective, it claimed to reveal its meaning, often in terms of a necessary progress toward some metaphysically guaranteed goal ascribed to God or Nature, Reason or Spirit.

As Habermas interpreted him, the young Marx rejected this construction. For him the movement of history was not at all a matter of metaphysical necessity; it was contingent in regard to both the empirical conditions of change and the practical engagement of social agents. The meaning of history, its goal, was not a subject for metaphysical hypostatization but for practical projection; it was a meaning that men, in the knowledge of objective conditions, could seek to give it with will and consciousness. The exaggerated epistemic claims of the traditional philos-

ophy of history derived in part from ignoring the essentially practical nature of its prospective dimension. The projected future (which conferred meaning on the past) was not a product of contemplation or of scientific prediction but of a situationally engaged practical reason.

The meaning of the actual historical process is revealed to the extent that we grasp a meaning, derived from "practical reason," of what should be and what should be otherwise . . . and theoretically examine the presuppositions of its practical realization . . . We must interpret the actual course and the social forces of the present from the point of view of the realization of that meaning.<sup>5</sup>

Thus Habermas already found in the young Marx many of the necessary correctives to the excesses of traditional philosophy. But Marx, in his desire to distinguish himself from the "merely philosophic" critique of the left Hegelians, subsequently ascribed to his own views the features of a strictly empirical theory of society; and later, in the hands of his "orthodox" followers, Marxism seemed to provide a purely theoretical guarantee of the outcome of history; the importance of critical self-reflection and enlightened political practice receded behind the solid, objective necessity of inexorable laws of history. The spectacle of this retrogression was one of the motivating factors behind the Frankfurt School's renewal of the philosophical dimension of Marxism; and it was behind Habermas' concern to demarcate critical social theory from strictly empirical-analytic science as clearly as Marx had from philosophy—to locate it "between philosophy and science."

While the essays of the late fifties and early sixties introduced the idea of comprehending society as a historically developing whole for the sake of enlightening practical consciousness, building a collective political will, and rationally guiding practice, they provided as yet no detailed articulation of the logic, methodology, or structure of this type of theory. The first attempts to do so appeared in the later sixties, principally in *Zur Logik der Sozialwissenschaften* (1967) and *Knowledge and Human Interests* (1968).<sup>6</sup> Although these studies were still labelled "propaedeutic" by Habermas, they did contain extended discussions

of the methodological issues surrounding social inquiry in general and critical theory in particular. One of his principal targets in both books was the neopositivist thesis of the unity of scientific method, the thesis, in particular, that the logic of scientific inquiry in the human sciences is basically the same as that in the natural sciences. In *Zur Logik der Sozialwissenschaften* the main line of attack runs through a consideration of the nature and role of *Verstehen*, or interpretive understanding, in social inquiry. Examining various *verstehenden* approaches to society—neo-Kantian and Weberian, social interactionist, phenomenological and ethnomethodological, linguistic and hermeneutic—Habermas argues that access to a symbolically structured object domain calls for procedures that are logically distinct from those developed in the natural sciences, procedures designed to grasp the “meaning” that is constitutive of social reality. Social action depends on the agent’s “definition of the situation,” and this is not solely a matter of subjective motivations. The meanings to which social action is oriented are primarily intersubjective meanings constitutive of the sociocultural matrix in which individuals find themselves and act: inherited values and world views, institutionalized roles and social norms, and so on. Any methodology that systematically neglects the interpretive schemata through which social action is itself mediated, that pursues the tasks of concept and theory formation in abstraction from the prior categorical formation of social reality, is doomed to failure. Sociological concepts are, in Alfred Schütz’s words, “second-level constructs”; the “first-level constructs” are those through which social actors have already prestructured the social world prior to its scientific investigation. Understanding the latter is a necessary point of departure for constructing the former.

While arguing this point Habermas was careful, at the same time, to distance himself from the view that interpretive understanding could be the sole methodological basis of social inquiry. In his lengthy discussion of Gadamer’s philosophical hermeneutics, which he took to be the most developed form of this view, he pointed out different aspects of social reality that called for modes of inquiry going beyond the merely interpretive.<sup>7</sup> For one thing, the reduction of social research to the explication of meaning

rests on an unwarranted sublimation of social processes entirely into subjectively intended and/or culturally transmitted meanings. If, however, these meanings are viewed in relation to the social, political, and economic conditions of life, it becomes evident that they can conceal and distort as well as reveal and express these conditions. Thus an adequate social methodology would have to integrate interpretive understanding with critique of ideology. Of course, this requires a system of reference that goes beyond subjective intentions and cultural tradition, one that systematically takes into account the objective framework of social action and the empirical conditions under which traditions historically change. Developments in the economic and political spheres, for example, can overturn accepted patterns of interpretation. And such developments are not as a rule simply the results of new ways of looking at things; rather they themselves bring about a restructuring of world views. Thus an adequate social methodology would have to integrate interpretive understanding and critique of ideology with an historically oriented analysis of social systems.

To specify desiderata in this way is obviously only a first step on the way to a fully developed critical social theory. In both *Zur Logik der Sozialwissenschaften* and *Knowledge and Human Interests* Habermas did go on to offer a number of suggestions on the direction in which further steps might lead. In the latter work, he used Freudian psychoanalysis as a "tangible example" of critical theory in order to derive from its analysis a number of general methodological clues.<sup>8</sup> Interpreting Freud's work as a theory of systematically distorted communication, he pointed out the ways in which it went beyond a purely *verstehenden* explication of meaning. In contrast to normal hermeneutics, psychoanalytic interpretation deals with "texts" that both express and conceal their "author's" self-deceptions. The "depth hermeneutics" that Freud developed to deal with this "internal foreign territory" relies on theoretical assumptions that are only partly explicit in his own work. Their full and consistent development would require a general theory of normal (undistorted) communication, a developmental account of the acquisition of the competence to communicate, as well as an account of the condi-



tions under which systematic distortions in communication arise. It is on this last point that Freud has most to offer; he provides us with a general interpretation of early-childhood patterns of interaction, coordinated with a phase-specific model of personality formation. This "general interpretation" or "interpretative schema" has the form of a "systematically generalized history" of psychodynamic development. Its methodological peculiarities provide clues as to what is distinctive about critical theory. For one thing, the application of such an interpretive schema has an inextinguishable hermeneutic component. Its concepts are schematic or type concepts that have to be translated into individuated situations; it is applied in constructing histories in which subjects can recognize themselves and their world. In contrast to ordinary philological hermeneutics, however, this reconstruction of individual life histories requires a peculiar combination of interpretive understanding and causal explanation. "We cannot 'understand' the 'what'—the semantic content of the systematically distorted expression—without at the same time 'explaining' the 'why'—the origin of the systematic distortion itself."<sup>9</sup> The explanatory hypotheses refer not to the "causality of nature" but, so to speak, to the "causality of fate," that is, to the workings of repressed motives and other "symbolic contents." The postulated causal connections do not represent an invariance of natural laws but an invariance of life history that operates through "the symbolic means of the mind" and can thus be analytically dissolved.

Other methodological peculiarities of Freud's general theory of psychodynamic development concern the type of corroboration appropriate to a systematically generalized history of this type. The assumptions it contains—about interaction patterns between the child and primary reference persons, about corresponding conflicts and forms of coping with conflict, about the personality structures that result, and so on—serve as a "narrative foil" for the reconstruction of individual life histories. They are developed as the result of numerous and repeated clinical experiences and are correspondingly subject to empirical corroboration. But this corroboration is of a distinctive sort; the physician's attempt to combine the fragmentary information obtained in the analytic dialogue and to offer a hypothetical reconstruction of the patient's

life history essentially anticipates the latter's own reflective appropriation of this story. The corroboration of a general interpretation thus ultimately relies on the successful continuation of processes of self-formation: "only the context of the self-formative process as a whole has confirming and falsifying power."<sup>10</sup>

The relevance of this notion of a "systematically" or "theoretically generalized history" for the critical theory of *society* was suggested in Habermas' discussion of Parsons in *Zur Logik der Sozialwissenschaften*.<sup>11</sup> Structural-functionalism interested him as an attempt to integrate action-theoretic and systems-theoretic perspectives. Parsons does not ignore the meaningfulness of social action; but he does not limit its significance to what is intended by social agents or articulated in the cultural tradition. The social system is conceived as a functional complex of institutions within which cultural patterns or values are made binding for action, that is, are incorporated into binding social norms and institutionalized values. In this framework it is possible to investigate empirical connections between social norms that go beyond the subjective intentions of those acting under the norms. The significance of the objective connections within the system of social roles is latent; to grasp it we must discover the functions that specific elements fulfill for the self-maintenance of the social system.

Habermas' criticisms of this approach centered around its subordination of the hermeneutic and critical moments of social inquiry to the requirements of empirical-analytic science. Parsons short-circuits the hermeneutic dimension by, for example, adopting the simplifying assumption of a universal value schema; all value systems are constructed from the same set of basic value orientations (pattern variables) fundamental to all social action. But both the universality and the completeness of his table of categories can be questioned; upon closer analysis it becomes evident that the four pairs of alternative value orientations are tailored to an analysis of one historical process, the transformation from traditional to modern society. There is a preunderstanding of the historical situation incorporated into the very formulation of these basic concepts. If the historically situated character of functional analysis is to be taken into account, the

problems and methods of historical-hermeneutic reflection become unavoidable.

The critical dimension of social inquiry is also cut short in structural-functional analysis, for it does not permit a systematic separation of the utopian, purposive-rational, and ideological contents of value systems. According to Parsons, cultural values are made binding for social action in institutions; the latter integrate "value orientations" and "motivational forces," thus securing the normative validity of social roles. Habermas found this construction overly harmonistic.

In the framework of action theory, motives for action are harmonized with institutional values, that is, with the intersubjectively valid meaning of normatively binding behavioral expectations. Nonintegrated motive forces that find no licensed opportunity for satisfaction in the role system are not analytically grasped. We may assume, however, that these repressed needs, which are not absorbed into social roles, transformed into motivations, and sanctioned, nevertheless have their interpretations. Either these interpretations "overshoot" the existing order and, as utopian anticipations, signify a not-yet-successful group identity; or, transformed into ideologies, they serve projective substitute gratification as well as the justification of repressing authorities . . . In relation to such criteria, a state of equilibrium would be determined according to whether the system of domination in a society realized the utopian elements and dissolved the ideological contents to the extent that the level of productive forces and technical progress made objectively possible. Of course, society can then no longer be conceived as a system of self-preservation . . . Rather, the meaning, in relation to which the functionality of social processes is measured, is now linked to the idea of a communication free from domination.<sup>12</sup>

As these last lines indicate, the incorporation of historico-hermeneutic and critical moments into the analysis of social systems bursts the functionalist framework, at least insofar as the latter is understood on the model of biology. The validity of functional analysis presupposes (among other things) that it is possible to specify empirically the boundaries of the system in question, the goal state the system tends to achieve and maintain, the functional requirements for self-maintenance, and the alternative processes through which they can be met. This is the case

above all in biology; an organism is easily demarcated from its environment and the state in which it maintains itself can be characterized in terms of necessary processes with specifiable tolerances. The same cannot be said for social systems. In the course of history not only the elements but the boundaries and the goal states of societies undergo change; consequently, their identity becomes blurred. A given modification might be regarded either as a learning process and regeneration of the original system or a process of dissolution and transformation into a new system. There is apparently no way to determine which description is correct independently of the interpretations of members of the system.<sup>13</sup>

Habermas concluded that if social systems analysis incorporated the historico-hermeneutic and critical dimensions as suggested, it could no longer be understood as a form of strictly empirical-analytic science; it would have to be transformed into a historically oriented theory of society with a practical intent. The form such a theory would take was that of a "theoretically generalized history" or "general interpretation" which reflectively grasped the formative process of society as a whole, reconstructing the contemporary situation with a view not only to its past but to its anticipated future. It would be a critical theory of society.

## II

On Habermas' own account the methodological views advanced in *Zur Logik der Sozialwissenschaften* and *Knowledge and Human Interests* do not represent a final statement of his idea of a critical social theory.<sup>14</sup> He sees them rather as guideposts on his way to formulating a systematic conception; this latter task has been the focus of his work for the past decade. The essays collected in this volume provide an overview of the results. As Habermas repeatedly reminds us, they are not "results" in the sense of "finished products"; his conception of critical theory is presented rather as a "research program." While he is concerned to argue its validity, he is aware of its hypothetical status, aware that a program of this magnitude requires considerable development before its fruitfulness—theoretical and practical—can be

adequately judged. Nevertheless, its main outlines have taken on a definite shape in recent years. It might best be described as a three-tiered research program. The ground level consists of a general theory of communication—as Habermas calls it, a universal pragmatics—at the next level this theory serves as the foundation for a general theory of socialization in the form of a theory of the acquisition of communicative competence; finally, at the highest level, which builds on those below it, Habermas sketches a theory of social evolution which he views as a reconstruction of historical materialism. In the remainder of this introduction, I shall make a few general remarks about each of these subprograms and about Habermas' application of the ideas developed in them to the analysis of contemporary society.

1. As mentioned above, one of the conclusions of Habermas' examination of psychoanalysis was that, as a theory and therapy of systematically distorted communication, it necessarily presupposed a general theory of (nondistorted) communication. This is only a particular instance of a more general conclusion he had reached earlier: that the normative-theoretical foundations of critical theory would have to be sought in that distinctive and pervasive medium of life at the human level, viz. language. In his inaugural lecture of June 1965 at Frankfurt University, he had declared: "What raises us out of nature is the only thing whose nature we can know: language. Through its structure autonomy and responsibility are posited for us. Our first sentence expresses unequivocally the intention of universal and unconstrained consensus. Autonomy and responsibility together (*Mündigkeit*) comprise the only idea we possess a priori in the sense of the philosophical tradition."<sup>15</sup> Of course at that time this was little more than a declaration—that the normative-theoretical foundations of critical theory were badly in need of renewal, that neither dialectical materialism nor a retreat to pure philosophy was adequate to this task, that earlier attempts by the members of the Frankfurt School to articulate and ground a conception of rationality that essentially transcended the narrow confines of "instrumental" thought had not in the end succeeded, and that the solution was to be found in a theory of language.

It is only with the formulation of the basic ideas of his communication theory that this declaration has assumed the more definite form of a research program. The first essay translated (and somewhat revised) for this volume, "What is Universal Pragmatics?," provides the best available statement of the strategy and structure of that program.<sup>18</sup> The central idea is introduced by way of contrast to the usual restriction of rational reconstruction to the syntactic and semantic features of language in abstraction from its pragmatic dimension, which is normally brought in subsequently as a domain for empirical (rather than logical or purely linguistic) analysis. The idea of a universal pragmatics rests on the contention that not only phonetic, syntactic, and semantic features of *sentences*, but also certain pragmatic features of *utterances*, not only language but speech, not only linguistic competence but communicative competence, admit of rational reconstruction in universal terms. Habermas is arguing then "that communicative competence has as universal a core as linguistic competence. A general theory of speech action would thus describe that fundamental system of rules that adult subjects master to the extent that they can fulfill the conditions for a happy employment of sentences in utterances, no matter to which individual languages the sentences may belong and in which accidental contexts the utterances may be embedded." The competence of the ideal speaker must be regarded as including not only the ability to produce and understand grammatical sentences but also the ability to establish and understand those modes of communication and connections with the external world through which speech becomes possible. Pragmatic rules for situating sentences in speech actions concern the relations to reality that accrue to a grammatically well-formed sentence in being uttered. The act of utterance situates the sentence in relation to external reality ("the" world of objects and events about which one can make true or false statements), to internal reality (the speaker's "own" world of intentional experiences that can be expressed truthfully/sincerely or untruthfully/insincerely), and to the normative reality of society ("our" social life-world of shared values and norms, roles and rules, that an act can fit or fail to fit, and that are themselves either right—legitimate, justifiable—or wrong). Regarded

from this pragmatic point of view, it becomes clear that speech necessarily (even if often only implicitly) involves the raising, recognizing, and redeeming of "validity claims." In addition to the (implicit) claim that what he utters is comprehensible, the speaker also claims that what he states is true (or if no statement is made, that the existential presuppositions of his utterance's propositional content are fulfilled); that his manifest expression of intentions is truthful or sincere; and that his utterance (his speech *act*) is itself right or appropriate in relation to a recognized normative context (or that the normative context it fits is itself legitimate). The claims to truth, truthfulness, and rightness place the speaker's utterance in relation to extralinguistic orders of reality; the universal-pragmatic infrastructure of speech consists of general rules for arranging the elements of speech situations within a coordinate system formed by "the" external world, one's "own" internal world, and "our" shared social life-world. It is obvious that a fully developed universal pragmatics would provide a unifying framework for a variety of theoretical endeavors usually assigned to disparate and only occasionally related disciplines—from the theory of knowledge to the theory of social action.

2. It was a characteristic tenet of the early Frankfurt School that basic psychological concepts had to be integrated with basic socioeconomic concepts because the perspectives of an autonomous ego and an emancipated society were essentially interdependent. In this way, critical theory was linked to a concept of the autonomous self that was, on the one hand, inherited from German Idealism but was, on the other hand, detached from idealist presuppositions in the framework of psychoanalysis. Habermas too starts from the interdependence of personality structures and social structures, of forms of identity and forms of social integration; but the socio-psychological framework he deploys involves much more than a readaptation of psychoanalysis. It is an integrated model of ego (or self-) development that draws on developmental studies in a number of areas, ranging from psycholinguistics and cognitive psychology (including studies of moral consciousness) to social interactionism and psychoanalysis. (in-

cluding analytic ego psychology).<sup>17</sup> The task, as he sees it, is to work out a unified framework in which the different dimensions of human development are not only analytically distinguished but in which their interconnections are also systematically taken into account. Beyond this, the empirical mechanisms and boundary conditions of development have to be specified. This is clearly an immense task, and Habermas is still in the process of working out an adequate research program. The general (and tentative) outlines of his approach are nevertheless clear. He adopts a competence-development approach to the foundations of social action theory; the basic task here is the rational reconstruction of universal, "species-wide," competences and the demonstration that each of them is acquired in an irreversible series of distinct and increasingly complex stages that can be hierarchically ordered in a developmental logic. The dimensions in which he pursues this task correspond to the universal-pragmatic classification of validity claims, that is, to the four basic dimensions in which communication can succeed or fail: comprehensibility, truth, rightness, and truthfulness. Each of these specifies not only an aspect of rationality, but a "region" of reality—language, external nature, society, internal nature—in relation to which the subject can become increasingly autonomous. Thus ontogenesis may be construed as an interdependent process of linguistic, cognitive, interactive, and ego (or self-) development.

Only the first three of these can be regarded as particular lines of development; the ontogenesis of the ego is not a development separable from the others but a process that runs complementary to them: the ego develops in and through the integration of "internal nature" into the structures of language, thought, and action. Of course, the acquisition of universal competences represents only one, the structural, side of identity formation; the other side is affect and motive formation. Unless the subject is able to interpret his needs adequately in these structures, development may be pathologically deformed. Thus a general theory of ego development would have to integrate an account of the interdependent development of cognitive, linguistic, and interactive development with an account of affective and motivational development.

The second essay translated for this volume, "Moral Develop-



ment and Ego Identity," focuses on one strand of this complex: the development of moral consciousness. Using Kohlberg's hierarchical schema for the ability to make moral judgments, Habermas places it in a larger action-theoretic framework by coordinating the stages of this ability with stages in the development of interactive competence: "I shall proceed on the assumption that 'moral consciousness' signifies the ability to make use of interactive competence for *consciously* dealing with morally relevant conflicts." He then goes on (in part IV of the essay) to consider the motivational (as distinguished from the structural or "cognitive") side of moral consciousness, that is, the psychodynamics of developmental processes (formation of superego, defense mechanisms). This perspective makes it possible to comprehend the frequent discrepancies between moral judgment and moral action. The essay as a whole provides an example of how new perspectives are opened by viewing the separate domains of developmental studies in an integrated framework with both structural and affective-motivational aspects.

3. The third and fourth essays delineate the properly sociological level of Habermas' program: the theory of social evolution. He understands this as a reconstruction of historical materialism, which turns on the thesis that developments in the sphere of social integration have their own logic: "I am convinced that normative structures do not simply follow the path of development of reproductive processes . . . but have an internal history." This is obviously the fruit of his long-standing insistence that *praxis* cannot be reduced to *techné*, nor rationality to purposive or instrumental rationality, that rationalization processes in the sphere of communicative action or interaction are neither identical with nor an immediate consequence of rationalization processes in the sphere of productive forces. In working out the logic of development of normative structures, Habermas' strategy is to employ structural comparisons with the developmental logic worked out for ontogenetic processes in the framework of his theory of communicative competence. This is, of course, a new version of an old strategy, and there is no lack of historical example for the pitfalls that attend drawing parallels between in-