

The Conflict Between Authority and Autonomy

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1. The Concept of Authority

Politics is the exercise of the power of the state, or the attempt to influence that exercise. Political philosophy is therefore, strictly speaking, the philosophy of the state. If we are to determine the content of political philosophy, and whether indeed it exists, we must begin with the concept of the state.

The state is a group of persons who have and exercise supreme authority within a given territory. Strictly, we should say that a state is a group of persons who have supreme authority within a given territory or over a certain population. A nomadic tribe may exhibit the authority structure of a state, so long as its subjects do not fall under the superior authority of a territorial state. The state may include all the persons who fall under its authority, as does the democratic state according to its theorists; it may also consist of a single individual to whom all the rest are subject. ...

Authority is the right to command, and correlatively, the right to be obeyed. It must be distinguished from power, which is the ability to compel compliance, either through the use or the threat of force. When I turn over my wallet to a thief who is holding me at gunpoint, I do so because the fate with which he threatens me is worse than the loss of money which I am made to suffer. I grant that he has power over me, but I would hardly suppose that he has authority, that is, that he has a right to demand my money and that I have an obligation to give it to him. When the government presents me with a bill for taxes, on the other hand, I pay it (normally) even though I do not wish to, and even if I think I can get away with not paying. It is, after all, the duly constituted government, and hence it has a *right* to tax me. It has *authority* over me. Sometimes, of course, I cheat the government, but even so, I acknowledge its authority, for who would speak of "cheating" a thief?

To claim authority is to claim the right to be obeyed. To have authority is then - what? It may mean to have that right, or it may mean to have one's claim acknowledged and accepted by those at whom it is directed. The term "authority" is ambiguous, having both a descriptive and a normative sense. Even the descriptive sense refers to norms or obligations, of course, but it does so by *describing* what men believe they ought to do rather than by asserting that they ought to do it.

Corresponding to the two senses of authority, there are two concepts of the state. Descriptively, the state may be defined as a group of persons who are *acknowledged* to have supreme authority within a territory -- acknowledged, that is, by those over whom the authority is asserted. The study of the forms, characteristics, institutions, and functioning of *de facto* states, as we may call

them, is the province of political science. If we take the term in its prescriptive signification, the state is a group of persons who have the *right* to exercise supreme authority within a territory. The discovery, analysis, and demonstration of the forms and principles of legitimate authority -- of the right to rule -- is called political philosophy.

What is meant by *supreme* authority? Some political philosophers, speaking of authority in the normative sense, have held that the true state has ultimate authority over all matters whatsoever that occur within its venue. Jean-Jacques Rousseau, for example, asserted that the social contract by which a just political community is formed "gives to the body politic absolute command over the members of which it is formed; and it is this power, when directed by the general will, that bears ... the name of 'sovereignty.'" John Locke, on the other hand, held that the supreme authority of the just state extends only to those matters which it is proper for a state to control. The state is, to be sure, the highest authority, but its right to command is less than absolute. One of the questions which political philosophy must answer is whether there is any limit to the range of affairs over which a just state has authority.

An authoritative command must also be distinguished from a persuasive argument. When I am commanded to do something, I may choose to comply even though I am not being threatened, because I am brought to believe that it is something which I ought to do. If that is the case, then I am not, strictly speaking, obeying a command, but rather acknowledging the force of an argument or the tightness of a prescription. The person who issues the "command" functions merely as the occasion for my becoming aware of my duty, and his role might in other instances be filled by an admonishing friend, or even by my own conscience. I might, by an extension of the term, say that the prescription has authority over me, meaning simply that I ought to act in accordance with it. But the person himself has no authority -- or, to be more precise, my complying with his command does not constitute an acknowledgment on my part of any such authority. Thus authority resides in persons; they possess it -- if indeed they do at all -- by virtue of who they are and not by virtue of what they command. My duty to obey is a duty owed to them, not to the moral law or to the beneficiaries of the actions I may be commanded to perform.

There are, of course, many reasons why men actually acknowledge claims of authority. The most common, taking the whole of human history, is simply the prescriptive force of tradition. The fact that something has always been done in a certain way strikes most men as a perfectly adequate reason for doing it that way again. Why should we submit to a king? Because we have always submitted to kings. But why should the oldest son of the king become king in turn? Because oldest sons have always been heirs to the throne. The force of the traditional is engraved so deeply on men's minds that even a study of the violent and haphazard origins of a ruling family will not weaken its authority in the eyes of its subjects.

Some men acquire the aura of authority by virtue of their own extraordinary characteristics, either as great military leaders, as men of saintly character, or as forceful personalities. Such men gather followers and disciples around them who willingly obey without consideration of personal interest or even against its dictates. The followers believe that the leader has a *right to command*, which is to say, *authority*.

Most commonly today, in a world of bureaucratic armies and institutionalized religions, when kings are few in number and the line of prophets has run out, authority is granted to those who occupy official positions. ... We become conditioned to respond to the visible signs of officiality, such as printed forms and badges. Sometimes we may have clearly in mind the justification for a legalistic claim to authority, as when we comply with a command because its author is an *elected* official. More often the mere sight of a uniform is enough to make us feel that the man inside it has a right to be obeyed.

That men accede to claims of supreme authority is plain. That men *ought* to accede to claims of supreme authority is not so obvious. Our first question must therefore be, Under what conditions and for what reasons does one man have supreme authority over another? The same question can be restated, Under what conditions can a state (understood normatively) exist? ...

We must demonstrate by an a priori argument that there can be forms of human community in which some men have a moral right to rule. In short, the fundamental task of political philosophy is to provide a *deduction of the concept of the state*.

To complete this deduction, it is not enough to show that there are circumstances in which men have an obligation to do what the *de facto* authorities command. Even under the most unjust of governments there are frequently good reasons for obedience rather than defiance. It may be that the government has commanded its subjects to do what in fact they already have an independent obligation to do; or it may be that the evil consequences of defiance far outweigh the indignity of submission. A government's commands may promise beneficent effects, either intentionally or not. For these reasons, and for reasons of prudence as well, a man may be right to comply with the commands of the government under whose *de facto* authority he finds himself. But none of this settles the question of legitimate authority. That is a matter of the *right* to command, and of the correlative obligation to *obey the person who issues the command*.

The point of the last paragraph cannot be too strongly stressed. Obedience is not a matter of doing what someone tells you to do. It is a matter of doing what he tells you to do *because he tells you to do it*. Legitimate, or *de jure*, authority thus concerns the grounds and sources of moral obligation. ...

What can be inferred from the existence of *de facto* states is that men *believe* in the existence of legitimate authority, for of course a *de facto* state is simply a state whose subjects believe it to be legitimate (i.e., really to have the authority which it claims for itself). They may be wrong. Indeed, *all* beliefs in authority may be wrong -- there may be not a single state in the history of mankind which has now or ever has had a right to be obeyed. It might even be impossible for such a state to exist; that is the question we must try to settle. But so long as men believe in the authority of states, we can conclude that they possess the concept of *de jure* authority. ...

2. The Concept of Autonomy

The fundamental assumption of moral philosophy is that men are responsible for their actions. From this assumption it follows necessarily, as Kant pointed out, that men are metaphysically free, which is to say that in some sense they are capable of choosing how they shall act. Being able to choose how he acts makes a man responsible, but merely choosing is not in itself enough to constitute *taking* responsibility for one's actions. Taking responsibility involves attempting to determine what one ought to do, and that, as philosophers since Aristotle have recognized, lays upon one the additional burdens of gaining knowledge, reflecting on motives, predicting outcomes, criticizing principles, and so forth.

The obligation to take responsibility for one's actions does not derive from man's freedom of will alone, for more is required in taking responsibility than freedom of choice. Only because man has the capacity to reason about his choices can he be said to stand under a continuing obligation to take responsibility for them. It is quite appropriate that moral philosophers should group together children and madmen as beings not fully responsible for their actions, for as madmen are thought to lack freedom of choice, so children do not yet possess the power of reason in a developed form. It is even just that we should assign a greater degree of responsibility to children, for madmen, by virtue of their lack of free will, are completely without responsibility, while children, insofar as they possess reason in a partially developed form, can be held responsible (i.e., can be required to take responsibility) to a corresponding degree.

Every man who possesses both free will and reason has an obligation to take responsibility for his actions, even though he may not be actively engaged in a continuing process of reflection, investigation, and deliberation about how he ought to act. ... It goes without saying that a man may take responsibility for his actions and yet act wrongly. When we describe someone as a responsible individual, we do not imply that he always does what is right, but only that he does not neglect the duty of attempting to ascertain what is right.

The responsible man is not capricious or anarchic, for he does acknowledge himself bound by moral constraints. But he insists that he alone is the judge of those constraints. He may listen to the advice of others, but he makes it his own by determining for himself whether it is good advice. He may learn from others about his moral obligations, but only in the sense that a mathematician learns from other mathematicians -- namely by hearing from them arguments whose validity he recognizes even though he did not think of them himself. He does not learn in the sense that one learns from an explorer, by accepting as true his accounts of things one cannot see for oneself.

Since the responsible man arrives at moral decisions which he expresses to himself in the form of imperatives, we may say that he gives laws to himself, or is self-legislating. In short, he is *autonomous*. As Kant argued, moral autonomy is a combination of freedom and responsibility; it is a submission to laws which one has made for oneself. The autonomous man, insofar as he is autonomous, is not subject to the will of another. He may do what another tells him, but not *because* he has been told to do it. He is therefore, in the political sense of the word, *free*.

Since man's responsibility for his actions is a consequence of his capacity for choice, he cannot give it up or put it aside. He can refuse to acknowledge it, however, either deliberately or by simply failing to recognize his moral condition. All men refuse to take responsibility for their actions at some time or other during their lives, and some men so consistently shirk their duty that they present more the appearance of overgrown children than of adults. Inasmuch as moral autonomy is simply the condition of taking full responsibility for one's actions, it follows that men can forfeit their autonomy at will. That is to say, a man can decide to obey the commands of another without making any attempt to determine for himself whether what is commanded is good or wise.

This is an important point, and it should not be confused with the false assertion that a man can give up responsibility for his actions. Even after he has subjected himself to the will of another, an individual remains responsible for what he does. But by refusing to engage in moral deliberation, by accepting as final the commands of the others, he forfeits his autonomy. Rousseau is therefore right when he says that a man cannot become a slave even through his own choice, if he means that even slaves are morally responsible for their acts. But he is wrong if he means that men cannot place themselves voluntarily in a position of servitude and mindless obedience.

There are many forms and degrees of forfeiture of autonomy. A man can give up his independence of judgment with regard to a single question, or in respect of a single type of question. For example, when I place myself in the hands of my doctor, I commit myself to whatever course of treatment he prescribes, but only in regard to my health. I do not make him my legal counselor as well. A man may forfeit autonomy on some or all questions for a specific period of time,

or during his entire life. He may submit himself to all commands, whatever they may be, save for some specified acts (such as killing) which he refuses to perform. From the example of the doctor, it is obvious that there are at least some situations in which it is reasonable to give up one's autonomy. Indeed, we may wonder whether, in a complex world of technical expertise, it is ever reasonable not to do so!

Since the concept of taking and forfeiting responsibility is central to the discussion which follows, it is worth devoting a bit more space to clarifying it. Taking responsibility for one's actions means making the final decisions about what one should do. For the autonomous man, there is no such thing, strictly speaking, as a *command*. If someone in my environment is issuing what are intended as commands, and if he or others expect those commands to be obeyed, that fact will be taken account of in my deliberations. I may decide that I ought to do what that person is commanding me to do, and it may even be that his issuing the command is the factor in the situation which makes it desirable for me to do so. For example, if I am on a sinking ship and the captain is giving orders for manning the lifeboats, and if everyone else is obeying the captain *because he is the captain*, I may decide that under the circumstances I had better do what he says, since the confusion caused by disobeying him would be generally harmful. But insofar as I make such a decision, I am not *obeying his command*; that is, I am not acknowledging him as having authority over me. I would make the same decision, for exactly the same reasons, if one of the passengers had started to issue "orders" and had, in the confusion, come to be obeyed.

In politics, as in life generally, men frequently forfeit their autonomy. There are a number of causes for this fact, and also a number of arguments which have been offered to justify it. Most men, as we have already noted, feel so strongly the force of tradition or bureaucracy that they accept unthinkingly the claims to authority which are made by their nominal rulers. It is the rare individual in the history of the race who rises even to the level of questioning the right of his masters to command and the duty of himself and his fellows to obey. ...

3. The Conflict Between Authority and Autonomy

The defining mark of the state is authority, the right to rule. The primary obligation of man is autonomy, the refusal to be ruled. It would seem, then, that there can be no resolution of the conflict between the autonomy of the individual and the putative authority of the state. Insofar as a man fulfills his obligation to make himself the author of his decisions, he will resist the state's claim to have authority over him. That is to say, he will deny that he has a duty to obey the laws of the state *simply because they are the laws*. In that sense, it would seem that anarchism is the only political doctrine consistent with the virtue of autonomy.

Now, of course, an anarchist may grant the necessity of *complying* with the law under certain circumstances or for the time being. He may even doubt that there is any real prospect of eliminating the state as a human institution. But he will never view the commands of the state as legitimate, as having a binding moral force. In a sense, we might characterize the anarchist as a man without a country, for despite the ties which bind him to the land of his childhood, he stands in precisely the same moral relationship to "his" government as he does to the government of any other country in which he might happen to be staying for a time. When I take a vacation in Great Britain, I obey its laws, both because of prudential self-interest and because of the obvious moral considerations concerning the value of order, the general good consequences of preserving a system of property, and so forth. On my return to the United States, I have a sense of reentering my country, and if I think about the matter at all, I imagine myself to stand in a different and more intimate relation to American laws. They have been promulgated by my government, and I therefore have a special obligation to obey them. But the anarchist tells me that my feeling is purely sentimental and has no objective moral basis. All authority is equally illegitimate, although of course not therefore equally worthy or unworthy of support, and my obedience to American laws, if I am to be morally autonomous, must proceed from the same considerations which determine me abroad.

The dilemma which we have posed can be succinctly expressed in terms of the concept of a *de jure* state. If all men have a continuing obligation to achieve the highest degree of autonomy possible, then there would appear to be no state whose subjects have a moral obligation to obey its commands. Hence, the concept of a *de jure* legitimate state would appear to be vacuous, and philosophical anarchism would seem to be the only reasonable political belief for an enlightened man.