

Contents

1	Complexity and Emergence	1
1.1	The Issue Considered	3
1.2	A Basic Viewpoint	4
1.2.1	The Main Claim	5
1.2.2	Hierarchies	6
1.2.3	Emergence	7
1.3	Key Points of the Argument	8
1.3.1	Multiple Types of Causation	9
1.3.2	Hierarchy and Causation	10
1.3.3	Types of Top-Down Causation	11
1.3.4	The Nature of Variables	12
1.3.5	The Causal Efficacy of Non-physical Entities	13
1.3.6	Room at the Bottom	14
1.3.7	Supervenience	15
1.4	Is It Real? Testing the Proposal	16
1.4.1	Causal Effects	16
1.4.2	Experimental Tests	17
1.4.3	Kinds of Data	19
1.4.4	There Is No Other Option	20
1.5	Significant Implications	20
1.5.1	Health Care	20
1.5.2	Mental Health	21
1.5.3	Education: Learning to Read	21
1.6	An Outline of the Book	22
1.6.1	The Contents	22
1.6.2	What Is New	24
1.6.3	What Is Controversial	24
1.7	The Necessity of the Conclusion	27
1.7.1	The Conclusion	28
1.7.2	The Necessity of the Conclusion	28
	References	30

2 Digital Computer Systems	35
2.1 Computational Basics	35
2.2 Modular Hierarchical Structures	38
2.2.1 Structures: Combination and Abstraction	39
2.2.2 Decomposition and Modularity	40
2.2.3 Encapsulation and Information-Hiding	41
2.2.4 Naming, Combination, and Recursion	42
2.2.5 Hierarchy: Class Structure and Object Structure	43
2.2.6 Evolution	45
2.3 Orthogonal Modular Hierarchical Structures	45
2.3.1 The Two Kinds of Hierarchies	46
2.3.2 The Implementation (Vertical) Hierarchies	46
2.3.3 The Logical (Horizontal) Hierarchies	49
2.3.4 The Relation Between the Two Hierarchies	50
2.3.5 Causality in the Hierarchies	52
2.4 Bottom-Up and Top-Down Causation	52
2.4.1 The Combination of Bottom-Up and Top-Down Action	53
2.4.2 TD1: Deterministic Top-Down Processes	54
2.4.3 TD2: Non-adaptive Feedback Control Systems	56
2.4.4 TD3: Adaptive Selection	57
2.4.5 TD4: Feedback Control with Adaptive Goals	59
2.4.6 TD5: Adaptive Selection of Adaptive Goals	59
2.4.7 Goals and Learning in Relation to These Kinds of Causation	60
2.5 The Core Feature: Equivalence Classes	63
2.5.1 Multiple Realization	63
2.5.2 The Link with Top-Down Causation	64
2.5.3 The Ontological Nature of Computer Programs	65
2.6 Resources: Memory and Deleting	65
2.6.1 The Unphysical Nature of Infinity	66
2.6.2 Deletion and Garbage Collection	67
2.6.3 The Memory Hierarchy	68
2.6.4 Modular Hierarchical Structure and Scoping of Variables	68
2.6.5 Deletion, Adaptive Selection, and Irreversibility	69
2.7 The Outcome: Causation in Digital Computers	70
2.7.1 Computer Programs Are Non-physical, but Causally Effective	70
2.7.2 Computer Programs Embody Abstract Logic, and Act Top-Down	72
2.7.3 Room at the Bottom	74
2.7.4 Predictable Outcome?	76
2.7.5 Possibility Spaces and Their Causal Effects	77

2.7.6 Top-Down Action from the Mind	81
2.7.7 Genuine Emergence.	81
References	82
3 The Basis of Complexity	85
3.1 The Nature of Emergence.	85
3.1.1 Emergence of Complexity Is Based on Structure	86
3.1.2 Emergence Is Different in Different Contexts	87
3.1.3 Emergence Results in a Structural/Functional Hierarchy	88
3.1.4 Emergence Enables Logical Hierarchies, Information Flows	91
3.1.5 Emergence Has Different Timescales	93
3.1.6 Emergence Is Based on Modularity	93
3.1.7 Emergence Is Based on Interlevel Relations	95
3.2 Bottom-Up Effects.	96
3.2.1 Coarse-Graining	96
3.2.2 Physics	97
3.2.3 Biology	97
3.2.4 Mathematics of Emergence.	98
3.2.5 Strong Reductionism	99
3.3 Emergence and Higher-Level Variables	100
3.3.1 Emergence of Higher Level Structure and Behavior.	100
3.3.2 Coherent Higher Level Dynamics	102
3.3.3 Emergent Higher Level Variables	105
3.3.4 Intrinsically Higher Level Variables.	108
3.4 Top-Down Effects	109
3.4.1 Limits to Bottom-Up Emergence.	109
3.4.2 Top-Down Causation via Constraints	110
3.4.3 Top-Down Action via Control Parameters	112
3.4.4 Top-Down Effects in Logical Hierarchies	114
3.4.5 Top-Down Effects in the Mind	115
3.4.6 Top-Down Effects and Supervenience	116
3.4.7 Top-Down Effects and Emergence.	117
3.5 The Key Concept: Equivalence Classes	119
3.5.1 Equivalence Classes	119
3.5.2 Equivalence Classes and Top-Down Causation	120
3.5.3 Multiple Realisability and Supervenience	122
3.6 Demonstrating Top-Down Causation	122
3.6.1 Altering Context	123
3.6.2 Identifying Equivalence Classes	123
3.6.3 Identifying Dynamics.	124
3.6.4 Computer Modelling	124
3.7 Constraints on Emergence	125
3.7.1 Matter, Energy, and Entropy.	125

3.7.2	Constraints on Higher Level Possibilities	126
3.7.3	Constraints on Higher Level Logic	126
References		127
4	Kinds of Top-Down Causation	133
4.1	Deterministic Top-Down Causation TD1	134
4.1.1	The Nature of the Process	134
4.1.2	Machines	137
4.1.3	Physical Systems	138
4.1.4	Living Systems	140
4.1.5	Logical Systems	142
4.1.6	Mathematical Models: Boundary Conditions and Constraints	144
4.1.7	Randomness and Noise	149
4.2	Non-Adaptive Feedback Control (TD2)	151
4.2.1	The Nature of the Process	152
4.2.2	Engineering Systems	157
4.2.3	Organisations	158
4.2.4	Biology	160
4.2.5	Mathematical Models: Control Theory	162
4.2.6	The Nature of Goals	163
4.3	Adaptive Selection of Outcomes (TD3)	163
4.3.1	The Nature of the Process	164
4.3.2	Physics and Chemistry	169
4.3.3	Life	169
4.3.4	The Mind: Learning and Perception	172
4.3.5	Mathematical Models: Adaptive Selection	174
4.3.6	Multilevel Selection	176
4.3.7	The Nature of Selection Criteria	182
4.4	Adaptive Selection of Goals (TD4)	183
4.4.1	The Nature of the Process	184
4.4.2	Evolution	185
4.4.3	Microbiology	185
4.4.4	Behaviour	185
4.4.5	Engineering Systems	186
4.4.6	Mathematical Models	186
4.4.7	The Nature of Causality	187
4.5	Adaptive Selection of Selection Criteria (TD5)	187
4.5.1	The Nature of the Process	188
4.5.2	Evolutionary Biology and Animal Behavior	188
4.5.3	The Mind	189
4.5.4	Mathematical Models	189
4.5.5	Meta-Causation: Closing the Hierarchy	190
4.5.6	The Hierarchy of Goals: Ethics and Meaning	191
4.5.7	Occurrence of Meta-Reflection	193

4.6	Complex Adaptive Systems	193
4.6.1	The Process	194
4.6.2	Evolutionary and Developmental Outcomes	194
4.6.3	Adaptive Processes and Learning	195
4.7	Intelligent Top-Down Causation	195
4.7.1	The Nature of the Process	196
4.7.2	Language	197
4.7.3	Other Symbolic Systems	201
4.7.4	The Power of Symbolic Thinking	203
4.7.5	The Effectiveness of Abstract Variables	204
4.7.6	The Mind, Intention, and Goals	205
	References	210
5	Room at the Bottom?	217
5.1	Room at the Bottom: Over-Determination?	217
5.2	Contextual Constraints	219
5.2.1	Boundary Conditions	219
5.2.2	Passing Higher Level Variables or Parameters	221
5.3	Structure and Constraints	222
5.3.1	Physical Systems	222
5.3.2	Artefacts	223
5.3.3	Biology	223
5.3.4	The Brain	224
5.3.5	Organisations	224
5.4	Changing the Nature of Constituent Entities	224
5.4.1	Physics and Chemistry	225
5.4.2	Biology	226
5.4.3	The Brain	226
5.4.4	Society	227
5.4.5	Logic	227
5.5	Leading to Existence of the Elements	228
5.5.1	Physics	228
5.5.2	Biology	229
5.5.3	Society	230
5.5.4	Logical Hierarchies	230
5.6	Deleting Lower Level Elements	231
5.6.1	Biology	231
5.6.2	Computers	233
5.6.3	The Mind	234
5.6.4	Society	235
5.6.5	Physics and Chemistry	235
5.6.6	Micro Indeterminism and Adaptive Selection	236
5.7	Queries	237
5.7.1	Criticism and Response	238
	References	240

6 The Foundations: Physics and Top-Down Causation	243
6.1 The Bottom Level: Quantum Dynamics	244
6.1.1 The Basic Dynamics	244
6.1.2 Alternative Possibilities	247
6.1.3 The Outcome	248
6.1.4 Particle-Wave Duality	248
6.2 The Emergence of Higher Level Behavior	249
6.2.1 Examples of Emergence	250
6.2.2 Statistical Mechanics	253
6.2.3 Condensed Matter Physics	255
6.2.4 Chemistry and Biology	257
6.2.5 Bottom-Up Effects: Cosmology	258
6.3 Top-Down Causation	259
6.3.1 Equivalence Classes	260
6.3.2 Changing or Creating the Basic Elements	260
6.3.3 Types of Top-Down Causation in Physics	260
6.4 Deterministic Top-Down Effects in Physics (TD1)	261
6.4.1 Contextual Variables	261
6.4.2 Effect of Boundary Conditions	262
6.4.3 Structural Conditions and Effective Potentials	263
6.4.4 Binding Energies and Altered Properties	264
6.4.5 Computational Mechanics	265
6.5 Adaptive Selection in Physics and Chemistry (TD3)	265
6.5.1 Adaptive Selection	265
6.5.2 Maxwell's Demon	266
6.5.3 Separation and Purification Processes	267
6.6 Top-Down Effects: Micro Physics	267
6.6.1 Open Systems and Their Environment	267
6.6.2 Decoherence	269
6.6.3 Lattice Waves and Quasiparticles	269
6.6.4 Topological Effects	271
6.6.5 State Preparation	271
6.6.6 Measurement	273
6.7 Top-Down Effects: Cosmology	274
6.7.1 Element Formation	275
6.7.2 Structure Formation	276
6.7.3 Olbers' Paradox	278
6.7.4 Mach's Principle	280
6.7.5 The Arrow of Time	280
6.7.6 Existence of Isolated Systems	284
References	286

7 The Mind and the Brain	291
7.1 Introduction	292
7.1.1 Dynamical Systems Versus Plasticity and Learning	293
7.1.2 Modular Hierarchical Structure, Neural Nets	294
7.1.3 Rationality, Intuition, and Emotion in a Social Context	295
7.1.4 Bottom-Up and Top-Down Effects Both Occur	295
7.1.5 The Effectiveness of Thoughts: Symbolism and Language	296
7.1.6 The Key Role of Purpose and Meaning	296
7.1.7 The Relationship with Platonic Spaces	297
7.1.8 Mental Powers and Free Will	297
7.2 Basics of the Brain	297
7.2.1 Brain Anatomy	298
7.2.2 Basic Brain Function	302
7.2.3 Large Scale Function	310
7.2.4 Environmental and Genetic Influences: Brain Plasticity	314
7.2.5 The Origin of Humanity: The Social Mind and Language	320
7.3 Top-Down Processes	324
7.3.1 The Different Kinds	325
7.3.2 Memory, Learning, and Deleting	326
7.3.3 Vision	328
7.3.4 Language and Reading	331
7.3.5 Goal-Directed Behaviour and Attention	334
7.3.6 Health	336
7.3.7 Social Neuroscience	340
7.3.8 The Physical Substrate	344
7.4 Purpose and Meaning as the Key Driving Forces	347
7.4.1 Goals and Purpose	347
7.4.2 The Human Search for Meaning	348
7.4.3 Purpose, Ethics, and Understanding	349
7.4.4 The Meaningful Social Context	351
7.5 Symbolism and Effectiveness of Thought	351
7.5.1 Logical Functions	352
7.5.2 Naming, Symbolism and Language	354
7.5.3 Effectiveness of Thought	358
7.5.4 Thoughts and Neural Networks	360
7.5.5 Causal Power of Social Constructions	361
7.5.6 The Power of Emergent Levels	364
7.6 The Effects of Platonic Entities	365
7.6.1 Mathematical Relations	365
7.6.2 Computational Algorithms	367
7.6.3 Accessing Platonic Realms	368

7.7	The Complex Whole	369
7.7.1	A Synthesis	370
7.7.2	Genuine Emergence	372
7.7.3	Crick's Fallacy	375
7.7.4	Top-Down Action and the Free Will Debate	375
7.7.5	Neuroscience and Humanity	382
	References	385
8	The Broader View	395
8.1	The Necessity of True Emergence	395
8.1.1	Cosmological Unpredictability	396
8.1.2	Evolutionary History	399
8.1.3	Conclusion: Genuine Emergence Must Occur	399
8.1.4	The Alternative: The Demiurge	400
8.2	The Sources of Emergence	401
8.2.1	Self-Assembly: Emergence in the Natural World	402
8.2.2	Natural Selection: Emergence in the Biological World	402
8.2.3	Design and Construction: Emergence in the Man-Made World	406
8.2.4	How Far Can Bottom-Up Emergence Succeed?	407
8.2.5	Not by Physics Alone: The Missing Elements	409
8.2.6	The Interconnected Causes: Chance, Necessity, and Purpose	410
8.3	Types of Causation	417
8.3.1	Levels of Causation and Aristotle	417
8.3.2	Multiple Causes and Contextual Factors	419
8.3.3	Causal Effects of Platonic (Non-Emergent) Entities	421
8.4	Aristotle and Types of Knowledge	422
8.5	A More Holistic View	423
8.5.1	Recognising Emergence and Top-Down Causation	423
8.5.2	Other Causal Influences Than Physics	426
8.5.3	The Main Thesis	427
8.5.4	The Counter View: Scientific Reductionism	427
8.6	Implications: Learning to Read and Write	430
8.6.1	The Broad Context: Underlying Views of Literacy	430
8.6.2	The Brain, Prediction, and Reading	436
8.6.3	Reading as Transacting with Texts	438
8.6.4	Part to Whole: Skills-Based Approaches to Literacy	440
8.6.5	The Contextual Approach to Learning	444
8.6.6	Holistic Approaches to Literacy	444
8.6.7	Educational Implications	447

8.7 Conclusion	449
8.7.1 The Theses of this Book	450
8.7.2 To Be Done	450
8.7.3 Where Is Truth?	453
References	456
Author Index	465
Index	467
Titles in This Series	479

• How the brain's structure and its dynamics relate to higher level structures	95
• The brain's hierarchical dynamics	103
• Higher level dynamics	109
• Dynamics emergent from the brain's structure	116
• Brain structure before dynamics	134
• Brain structure and its relations	140
• Emergent structure	161
• Brain development	183
• Brain observations	227
• The brain domain	269
• The brain as a system	319
• Brain structure	407
• The concept of matter	455
• Structure of the brain	521
• The effects of brain structure	531
• Brain structures in the brain	545
• Physically determined effective structure	561
• Brain processes	587
• Brain structure and function	613
• Brain structure in general	661
• Brain structure from organs to society and culture	685
• Brain structure and its relations	729
• Brain structure and function	739
• Brain structure and its dynamics	760
• Brain structure and its dynamics	764
• Summary of Chapter 7: Intrinsic influences affecting the function of the brain	793
• Summary of Chapter 8: The brain	812
• Summary of Chapter 9: The amendability of the universe	826
• Summary of Chapter 10: The source of the LWM as perceived by the Brain	832
• Summary of Chapter 11: The brain's structure	851