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Explanation: a mechanist alternative

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Abstract

Explanations in the life sciences frequently involve presenting a model of the mechanism taken to be responsible for a given phenomenon. Such explanations depart in numerous ways from nomological explanations commonly presented in philosophy of science. This paper focuses on three sorts of differences. First, scientists who develop mechanistic explanations are not limited to linguistic representations and logical inference; they frequently employ diagrams to characterize mechanisms and simulations to reason about them. Thus, the epistemic resources for presenting mechanistic explanations are considerably richer than those suggested by a nomological framework. Second, the fact that mechanisms involve organized systems of component parts and operations provides direction to both the discovery and testing of mechanistic explanations. Finally, models of mechanisms are developed for specific exemplars and are not represented in terms of universally quantified statements. Generalization involves investigating both the similarity of new exemplars to those already studied and the variations between them.

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1. Introduction

The received view of scientific explanation in philosophy (the deductive-nomological or D-N model) holds that to explain a phenomenon is to subsume it under a law

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(Suppe, 1977).¹ However, most *actual* explanations in the life sciences do not appeal to laws in the manner specified in the D-N model. For example, consider biologists who want to explain phenomena of cellular respiration (metabolism) by which the energy in food is harvested and stored in molecules of ATP. They would not be satisfied by such putative laws as one stating that, under specified conditions in the last phase of cellular respiration, the ratio of oxygen molecules consumed to ATP molecules produced does not exceed 1:3. Even if accorded the status of a law, this statement merely brings together a number of actual and potential cases as exemplars of the same phenomenon and provides a characterization of that phenomenon. However, it would not explain *why* the phenomenon occurred—either in general or in any specific case.²

In biology, identifying phenomena precedes and invites explaining them. Perusing the biological literature, it quickly becomes clear that the term biologists most frequently invoke in explanatory contexts is *mechanism*.³ That is, biologists explain *why* by explaining *how*. In cell biology, for example, there are numerous proposed mechanisms to explain various phenomena of fermentation, cellular respiration, protein synthesis, secretion, action potential generation, and so forth. As one example, the phenomenon (law?) of the 1:3 ratio of oxygen to ATP is explained by the fact that the primary mechanism of ATP formation, oxidative phosphorylation, occurs three times within a sequence of reactions that ends in the formation of H₂O. As a more general example, a search of titles of journal articles incorporating *mechanism* and *protein synthesis* produced 302 such titles (whereas a similar search for *law* and *protein synthesis* yielded none). Although some of the articles involved peripheral mechanisms (e.g., how some agent altered protein synthesis), here is a sampling of titles from the 1950s and 1960s that offered mechanistic explanations of phenomena of protein synthesis:

Winnick, T. (1950). Studies on the mechanism of protein synthesis in embryonic and tumor tissues, I. Evidence relating to the incorporation of labeled amino acids into protein structure in homogenates. *Archives of Biochemistry*, 27, 65–74.

¹ One such line of attack, due to Cartwright (1983, 1999) and Giere (1999), challenges the existence of laws of the form invoked in the D-N account of explanation. As well, Beatty (1995) and Rosenberg (1994) have raised principled objections to the existence of laws in biology in particular. For present purposes we leave laws in place as statements of particularly robust and general phenomena. However, we suggest that explanation is to be found in the mechanisms that account for these laws, not in the laws themselves. (In certain cases, laws may also be incorporated into the description of parts of a mechanism; Bechtel, in press.)

² Cummins (2000) notes that what elsewhere are called *laws* are often labeled *effects* in psychology and offers examples such as the Garcia effect (avoidance of a food whose intake on a previous occasion was followed by nausea or other gastrointestinal distress). Such effects, he maintains, are not invoked to explain things, but rather are themselves in need of explanation. Moreover, they are less likely to be direct targets of explanatory activity than to serve as constraints on explanations of the more basic psychological phenomena that underlie them (e.g., classical conditioning).

³ In this paper we are targeting explanations in the life sciences. We are not claiming all scientific explanations involve appeals to mechanisms or even that in biology all explanations take the form of identifying the responsible mechanism. The claim is far more modest—that in many cases in the life sciences, and potentially in other sciences, the quest for explanation is the quest for a specification of the appropriate mechanism.

Novelli, G. D., & Demoss, J. A. (1957). The activation of amino acids and concepts of the mechanism of protein synthesis. *Journal of Cell Physiology*, 50 (Suppl. 1), 173–197.

Yoshida, A. (1958). Studies on the mechanism of protein synthesis: Bacterial alpha-amylase containing ethionine. *Biochimica et Biophysica Acta*, 29, 213–214.

Goodman, H. M., & Rich, A. (1963). Mechanism of polyribosome action during protein synthesis. *Nature*, 199, 318–322.

Carey, N. H. (1964). The mechanism of protein synthesis in the developing chick embryo. The incorporation of free amino acids. *Biochemical Journal*, 91, 335–340.

Given the ubiquity of references to mechanism in biology, and the sparseness of references to laws, it is a curious fact that mechanistic explanation was mostly neglected in the literature of twentieth-century philosophy of science.⁴ This was due both to the emphasis placed on physics and to the way in which explanation in physics was construed. With increased attention given to the biological sciences in the last two decades, a number of philosophers of science have begun attending to mechanistic explanation. They have addressed the absence of an appropriate framework by offering initial proposals that overlap in some important respects but also vary in terminology, scope, and emphasis (see, for example, Bechtel & Richardson, 1993; Glennan, 1996; Machamer, Darden, & Craver, 2000). Our own approach is to begin with a basic characterization of mechanisms as found in nature and then (see below) elaborate it into a framework for mechanistic explanation:

A mechanism is a structure performing a function in virtue of its component parts, component operations, and their organization. The orchestrated functioning of the mechanism is responsible for one or more phenomena.⁵

⁴ Mechanism figured prominently in the early modern philosophy of Descartes and Boyle. Even Newton, whose appeal to forces seems to reject the quest for mechanism, in some other contexts did advance mechanistic explanations. Newton's appeal to forces, however, provided the prototype for the deductive-nomological model of explanation promoted by the Logical Positivists. In the late twentieth century Wesley Salmon (1984) set out to revive the mechanical philosophy. He focused more on causal explanations, however, than on mechanisms as characterized here.

⁵ There are some salient differences between the various accounts of mechanism. Bechtel and Richardson (1993) focus on the 'functions' (operations) that parts perform, whereas Glennan focuses on the properties of parts in stating what he originally (1996) called laws and now (2002) calls 'invariant change-relating generalizations'. These are instantiated in 'interactions' in which 'a change in a property of one part brings about a change in a property of another part' (2002, p. S344). Machamer, Darden, & Craver (2000) pursue the metaphysical status of 'entities' (parts) and 'activities' (operations). Tabery (2004) has proposed a partial synthesis in which activities and property changes are seen as complementary. We use the term *operation* rather than *activity* because we want to draw attention to the involvement of parts; for example, enzymes operate on substrates so as to catalyze changes in the substrates. For a more complete account of the multiple roles played by parts, see Bechtel (in press). Finally, Machamer, Darden, and Craver (2003, p. 3) include a characterization of mechanisms as 'productive of regular changes from start or set-up to finish or termination conditions'. We are concerned that such an emphasis helps to retain a focus on linear processes whereas mechanisms, when they are embedded in larger mechanisms, are continuously responsive to conditions in the larger mechanism. For tractability scientists tend to focus on the conditions in which an operation is elicited and on its contribution to the behavior of the overall mechanism. However they often have to counter this analytical perspective to appreciate the dynamics at work in the system.

Moreover:

- The component parts of the mechanism are those that figure in producing a phenomenon of interest.
- Each component operation involves at least one component part. Typically there is an active part that initiates or maintains the operation (and may be changed by it) and at least one passive part that is changed by the operation. The change may be to the location or other propert(ies) of a part, or it may transform it into another kind of part.
- Operations can be organized simply by temporal sequence, but biological mechanisms tend to exhibit more complex forms of organization.⁶
- Mechanisms may involve multiple levels of organization.

Figure 1 provides a sketchy illustration of a familiar mechanism, in which the heart is a structure that functions to pump blood. The major *parts* of the heart are familiar enough that the abbreviated labels should suffice. The *operations* performed by the parts include contraction and relaxation (by all four chambers) and blockage of reverse movement of blood (by all four valves). The heart is itself part of a larger mechanism, the circulatory system, that includes such parts as veins, arteries, and the blood itself. Parts differ in their roles with respect to particular operations; for example, the chambers of the heart play an active role in the operations of contracting and relaxing whereas the blood plays a passive role in the same operations (it undergoes change of location). The various components must be both spatially and temporally *organized* such that blood can flow on each side from atrium to valve to ventricle to valve to aorta or pulmonary artery into the rest of the circulatory system, as suggested by the arrows. At least as important, the operations must be precisely timed to achieve an *orchestrated* effect. (How this is achieved is a complex story involving additional parts, such as the heart's pacemaker.)

With this basic notion of mechanism as a starting point, a fruitful approach to explanation can be constructed. There has been a tendency, originating with Salmon (1984), to treat the mechanism operative in the world as itself providing explanation. Thus, Salmon identifies his approach to explanation as *ontic* insofar as it appeals to the actual mechanism in nature, and contrasts it with an *epistemic* conception of explanation that appeals to derivations from laws, which are clearly products of mental activities. Salmon's insight is important, but the ontic/epistemic distinction fails to capture it. The important insight is that mechanisms are real systems in

⁶ This conception ultimately is not sufficient for characterizing biological mechanisms. An important recent way of viewing biological mechanisms is as autonomous systems in a condition far from equilibrium. On this view, they face a variety of additional demands, including being self-organizing systems that reside between a source and sink for energy and have the capacity to capture and utilize energy to develop and maintain themselves. While these additional considerations do not invalidate the features of mechanism that I will focus on in this paper, they impose additional constraints on the sorts of mechanisms that occur in biological systems, as opposed to humanly engineered systems, which employ both external designers and repair persons. See Ruiz-Mirazo, Peretó, and Moreno (2004) and Bechtel (forthcoming b).

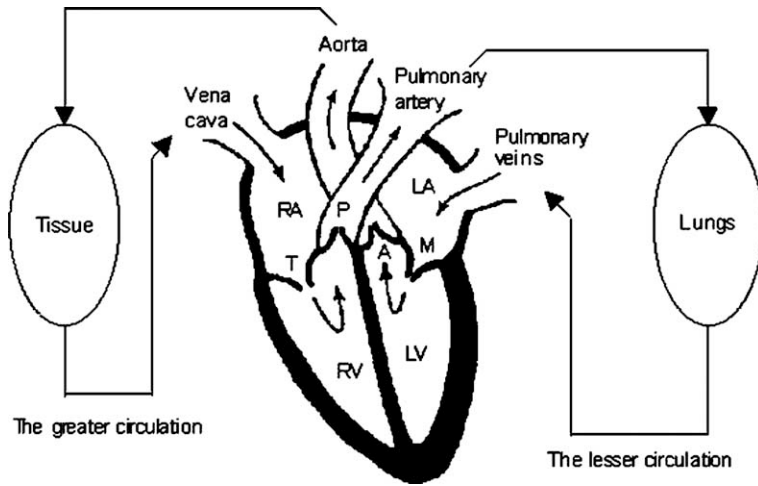


Fig. 1. The heart pumping blood. RA: right atria; LA: left atria; RV: right ventricle; LV, left ventricle; T: tricuspid valve; M: mitral valve; P: pulmonary valve; A: aortic valve.

nature, and hence one does not have to face questions comparable to those faced by nomological accounts of explanation about the ontological status of laws. But it is crucial to note that offering an explanation is still an epistemic activity and that the mechanism in nature does not directly perform the explanatory work.⁷ Providing explanations, including mechanistic explanations, is essentially a cognitive activity. This is particularly obvious when one considers incorrect mechanistic explanations—in such a case one has still appealed to a mechanism, but not one operative in nature. Another way to appreciate the point is to note that in many instances the mechanism in question was operative long before scientists discovered the mechanism and invoked it to explain the phenomenon.

Thus, since explanation is itself an epistemic activity, what figures in it are not the mechanisms in the world, but representations of them. These representations may be internal mental representations, but they may also take the form of representations external to the cognitive agent—diagrams, linguistic descriptions, mathematical equations, physical models, and so on. Generically, one can refer to these internal and external representations as *models* of the mechanism. A model of a mechanism describes or portrays what are taken to be its relevant component parts and operations,⁸ the organization of the parts and operations into a system, and the means by which operations are orchestrated so as to produce the phenomenon. When they are

⁷ We thank Cory Wright for impressing on us that a mechanism in nature does not itself explain anything.

⁸ When we are emphasizing the thing performing the operation, we use the term *part* or *component part*, and when we are emphasizing what the part does, we speak of *operation* or *component operation*. We use the term *component* alone where it is not important to be specific or where we wish to jointly designate the part and the operation it performs.

correct, models of mechanisms accurately describe relevant aspects of the mechanism operative in the world.

Another point that is important to appreciate is that identifying the component parts and operations of a mechanism and their organization is only part of the overall endeavor of developing a mechanistic explanation. Looking outwards, the mechanism generating a phenomenon typically does so only in appropriate external circumstances. A relatively simple example from cell biology is that yeast cells carry out fermentation only when glucose and ADP are available and oxygen is not. For numerous other phenomena—such as those of gene expression in cell biology and speciation in evolutionary biology—the relevant external circumstances are more complex. Nonetheless, it is crucial to identify them and to explore how variations affect the behavior of the mechanism. Often, such explorations reveal that the external circumstances are best understood as involving an organized system—a larger mechanism—in which the target mechanism is embedded, rather than as aspects of an environment. Moreover, many of the components of a mechanism are themselves mechanisms which could be targeted in another round of explanation. Thus, whether we look outwards or inwards from the targeted mechanism, it becomes evident that mechanistic explanation can be recursive.

Traditional reduction (Nagel, 1961; Causey, 1977) is also recursive, but there is an important difference. In traditional reduction, the most primitive level must offer a comprehensive account of all phenomena. In mechanistic explanation, successively lower level mechanisms account for *different* phenomena. Scientists construct a cascade of explanations, each appropriate to its level and not replaced by those below (see Bechtel, 1994, 1995, 2001). From any one level, going down a level offers a kind of reduction (to component parts and operations). And going up a level provides a different perspective: that the mechanism's behavior may be modulated by that of a larger mechanism in which it is embedded (see Craver & Bechtel, submitted).

Mechanistic explanations do not merely trade laws for models of mechanisms, leaving the rest of the standard account of explanation unchanged. Rather, thinking in terms of mechanisms as the vehicles of explanation transforms how one thinks about a host of other issues in philosophy of science. Our goal in this paper is to draw out some of the important consequences of mechanistic explanation for a few of these traditional issues. Although the D-N model has long since lost its status as the generally accepted model of explanation in philosophy of science, we will frequently invoke it by way of contrast in what follows because it still provides the backdrop for much philosophical thinking about explanation.

2. Representing and reasoning about mechanisms

Two of the major legacies of the D-N model are the assumptions that (1) the primary mode of representing explanations is propositional and (2) logic provides the tools for reasoning about these representations. In particular, explanation is viewed as a logical inference from laws to observation statements (Nagel, 1961; Hempel, 1965). Although scientific papers do not typically include formalized arguments,

such arguments are assumed to be implicit and philosophers often take it to be part of their job to reconstruct scientific explanations as proper derivations from statements of laws and initial conditions. But are propositional representations and logical inference the most appropriate devices for representing and reasoning about mechanisms? A prominent feature of almost any paper in biology (in print, or especially when presented to an audience) is the reliance on visuospatial representations.⁹ The figures in a paper might include a photograph showing an apparatus, a micrograph revealing a subcellular structure, a graph summarizing the relation between two or three variables in an experiment, and so forth. Of particular interest here, figures—especially diagrams—can play a key role in presenting an explanation. From a perspective in which linguistic representation is treated as primary, the use of figures and diagrams seems to be comparable to their invocation in courses on geometry, where they are often construed as crutches to help students understand the steps in a proof. As such, they may be discounted as not themselves central to the explanatory endeavor.

When one considers the actual practice of scientists in reading papers, however, the tables seem to be turned. It is not uncommon for a reader to scan the abstract and then jump to key figures. To the extent that crutches are involved, it is the labels and figure captions providing commentary on the figures that play this role. Consider a paper in which a mechanistic explanation is proposed. The diagram provides a vehicle for keeping in mind the complex interactions among operations, even if its parts initially are examined in sequence, whereas the caption does not. The text of the paper provides yet further commentary: about how the mechanism is expected to operate (introduction), how evidence as to its operation was procured (methods), what evidence was advanced (results), and the interpretation of how these results bear on the proposed mechanism (discussion). The detailed commentary is important, but it is the diagram that fixes the mechanism in the reader's mind. As just one example, *de Duve* (1969, p. 5) recollected that his discovery of the lysosome was sparked by an unexpected failure in his biochemical investigation of a liver enzyme. 'By some fortunate coincidence, my recent readings had included [two 1946 papers by Claude and] I immediately recalled Claude's diagrams showing the agglutination at pH 5 of both large and small granules, and concluded that our enzyme was likely to be firmly attached to some kind of subcellular structure'.

The importance scientists place on diagrams should lead us to question whether they are in fact superfluous. Are there reasons a scientist might prefer to represent information diagrammatically rather than, or in addition to, a text? More importantly, are there different processes of reasoning with diagrams than with propositions such that an account of science that focused only on logical inference would fail to capture an important aspect of explanatory reasoning?

⁹ The distinction between linguistic and visuospatial or graphical representations, while intuitively clear, is challenging to formulate precisely. See *Shimojima* (2001) for a review and discussion of several proposals, including his own account in terms of nomic versus stipulative constraints, for marking the distinction.

The motivation for using diagrams to represent mechanisms is obvious. Unlike linguistic representations (except those found in signed languages), diagrams make use of space to convey information. As we have already seen in the diagram of a heart, spatial layout and organization is often critical to the operation of a mechanism. As in a factory, different operations occur at different locations. Sometimes this serves to keep operations separate from one another and sometimes it serves to place operations in association with one another. These spatial relationships can be readily shown in a diagram. Even when information about the specific spatial layout is lacking or not significant, moreover, one can use space in the diagram to relate or separate operations conceptually. Moreover, diagrams can take advantage of dimensions other than space that visual processing can access, including color and shape.

Time is at least as important as space to the operation of a mechanism—one operation proceeds, follows, or is simultaneous with another operation. This can be captured by using one of the spatial dimensions in a diagram to convey temporal order. This of course presents a problem: with most diagrams laid out in two dimensions, that leaves just one dimension for everything other than time. One solution—as exemplified in the heart diagram—is to make strategic use of arrows to represent temporal relations, leaving both dimensions free to represent the mechanism's spatial or similarity relations. Another solution is to use techniques for projecting three dimensions onto a two-dimensional plane.

Whether the temporal order of operations is represented by means of a spatial dimension or by arrows, a diagram has clear advantages over linguistic description. The most obvious advantage—that all parts and operations are available for inspection simultaneously—probably is the weakest one. Due to processing limitations, people can only take in one or a few parts of the diagram at a time. Nonetheless, more so than when reading text, they have the freedom to move around it in any number of ways; and as the diagram becomes more familiar, more of it can be taken in at one time. A stronger advantage is that diagrams offer relatively direct, iconic resources for representation that can be invaluable. For example, it is immediately apparent in the heart diagram that blood is being pumped simultaneously from the two atrial chambers to the two ventricles and that these two parallel operations are in a sequential relationship to two other parallel operations (pumping from the two ventricular chambers). The value of consulting a diagram in this way is even more apparent in mechanisms with feedback loops, through which an operation that is conceptually downstream (closer to producing what is taken to be the product of the mechanism) has effects that alter the execution of operations earlier in the stream at subsequent time steps. Multiple examples can be found within the cellular respiration (metabolic) mechanism that functions within our cells to harvest and store energy from food. It is composed of three connected submechanisms, which when further unpacked are seen to involve coordinated biochemical operations, including feedback operations. [Figure 2](#) shows an important feedback loop that operates at the interface between the first two submechanisms—glycolysis and the Krebs cycle. The diagram aids understanding by spatially laying out the parts of the system (compounds such as pyruvate) and by using the vertical dimension as well as solid vs. dotted arrows to indicate the sequence of operations (the reactions and feedback loop).

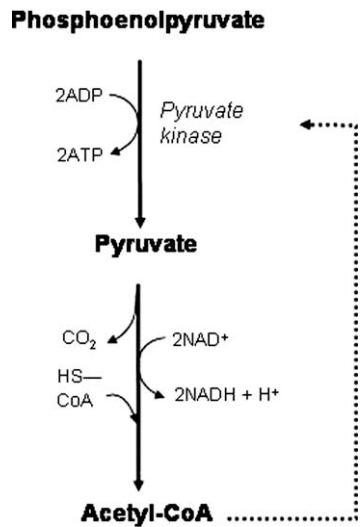


Fig. 2. Feedback loop in the linkage between two metabolic systems. In the final reaction of glycolysis, phosphoenolpyruvate produces pyruvate. Pyruvate then produces Acetyl-CoA, some amount of which is needed to continuously replenish the Krebs cycle (not shown). If more Acetyl-CoA is produced than can be used in the Krebs cycle, it accumulates and feeds back (dotted arrow) to inhibit pyruvate kinase, the enzyme responsible for the first step in the reaction.

Although a mechanism can be represented by means of a diagram, it can also be described linguistically. Is there any fundamental difference between linguistic and diagrammatic representations? Larkin and Simon (1987) considered diagrams and linguistic representations that are informationally equivalent and analyzed how they can nonetheless differ with respect to ease of search, pattern recognition, and the inference procedures that can be applied to them. In part these differences stem from the fact that information that may be only implicit in a linguistic representation may be made explicit, and hence easier to invoke in reasoning, in a diagram.¹⁰ More recently, Stenning and Lemon (2001) suggested that diagrams are more constrained in expressive power than propositions and accordingly are more tractable. They also argued that the advantage provided by these constraints is dependent upon the subject supplying an interpretation that makes them available.

An important principle of computational modeling of reasoning is that it is essential to coordinate the modes of representation and procedures of inference. If diagrams are an important vehicle for representing mechanisms, then it is necessary to consider how one reasons about diagrams. In particular, if diagrams represent

¹⁰ Larkin and Simon (p. 65) comment: ‘In the representations we call diagrammatic, information is organized by location, and often much of the information needed to make an inference is present and explicit at a single location. In addition, cues to the next logical step in the problem may be present at an adjacent location. Therefore problem solving can proceed through a smooth traversal of the diagram, and may require very little search or computation of elements that had been implicit’.

information that is not represented (or easily represented) in linguistic representations, then deductive inference, the traditional glue that relates laws and statements of the phenomena to be explained in D-N models, will not capture the reasoning involved in understanding how a given mechanism produces the phenomenon.¹¹ What, then, provides the glue of mechanistic explanations invoking diagrams? Here it is important to keep in focus the fact that mechanisms generate the phenomenon in virtue of their components performing their own operations in a coordinated manner. The kind of reasoning that is needed is reasoning that captures the actual operation of the mechanism, including both the operations the components are performing and the way these operations relate to one another.

One limitation of diagrams when it comes to understanding mechanisms is that they are static. Even if they incorporate arrows to characterize the dynamics of the mechanism, the diagrams themselves don't do anything. Thus, they cannot capture the relation of the operation of the parts to the behavior of the whole mechanism. Accordingly, the glue holding these together must be provided by the cognitive agent. The cognizer must imagine the different operations being performed, thereby turning a static representation into something dynamic.¹² Mary Hegarty (1992, p. 1084) suggests the term *mental animation* for the activity of inferring 'the state of one component of the system given information about the states of the other system components, and the relations between the components'. She notes the importance of *mental animation* to the activities of designing, troubleshooting, and operating mechanical devices. Obtaining reaction time and eye movement data while people solved problems about relatively simple pulley systems, she investigated the extent to which inference processes are isomorphic to the operation of the physical systems. One way they were not isomorphic is that the participants made inferences about different components of the system (i.e., individual pulleys) separately and sequentially even though in the physical system the components operated simultaneously. The participants found it considerably harder, however, to make inferences that required them to reason backwards through the system rather than forwards, suggesting that they animated the system sequentially from what they represented as the first operation, in this respect preserving isomorphism with the actual system.

Accepting the claim that people, including scientists, understand diagrams of mechanisms by animating them, a natural follow-up question concerns how they do this. A plausible initial proposal is that they create and transform an image of the mechanism so as to represent the different components each carrying out their

¹¹ It is ironical to observe that one of the leading fields in which investigators explore the power of diagrams is logical inference. Interest in diagrammatic representation of logical inference dates back to Euler and Venn. For a discussion by logicians of diagrams in logical reasoning itself, see Barwise & Etchemendy (1995). For an attempt to characterize logical reasoning in terms of mental diagrams, see Johnson-Laird (1983).

¹² Animated diagrams relieve people of this difficult task and are often far more instructive to novices. Thomas M. Terry of the University of Connecticut has produced some excellent ones that make clear how the many operations in cellular metabolism are related. He has them posted at <http://www.sp.uconn.edu/~terry/images/anim/ETS.html>. Another good site for such diagrams, which also provides links to Terry's diagrams, is <http://www.people.virginia.edu/~rjh9u/slidlist.html>.

operations. In perception we have experience of parts of the system changing over time, and so the proposal is that in imagination we animate these components by invoking the same processes that would arise if we were to watch an animated diagram. This proposal needs to be construed carefully, as a potential misunderstanding looms. Reference to a mental image should not be construed as reference to a mental object such as a picture in the head. Recent cognitive neuroscience research indicates that when people form images they utilize many of the same neural resources that they do in perception (Kosslyn, 1994).¹³ Thus, what occurs in the head in forming an image is activity comparable to that which would occur when seeing an actual image. Barsalou (1999) speaks of this neural activity as a *perceptual symbol*. Thinking with perceptual symbols then involves the brain initiating sequences of operations that correspond to what it would undergo if confronted with actual input from visual objects behaving in a particular manner. On this account, imagery does not involve mental objects as such, only the activity of representing objects and how they change.

Although humans are relatively good at forming and manipulating images of rather simple systems, if the mechanism is complex and involves multiple components interacting with and changing each other, we often go astray. We fail to keep track of all the changes that would occur in other components of the system in response to the changes we do imagine. Thus, the usefulness of mental animation for understanding a system does reach a limit. Ordinary people may simply stop trying at this point, but scientists and engineers often find it important to do better and hence have created tools that supplement human abilities to imagine a system in action. One tool involves building a scale model (or otherwise simplified version) of a system and operating on the scale model to determine how the actual system would behave. The behavior of the scale model *simulates* that of the actual system. For example, the behavior of objects in wind tunnels can be used to simulate phenomena involving turbulence in natural environments. If instead an investigator can devise equations that accurately characterize the changes in a system over time, the investigator can often determine how the system will behave by specifying the values of variables in those equations rather than actually building a simulator. In this case the simulation is done with a mathematical model rather than a physical model. Computers can be used to run such models, and they have also enabled the development of nonmathematical simulation techniques for complex systems in which high level computer languages are designed specifically for representing complex structures and their interactions (Jonker, Treur, & Wijngaards, 2002).

These different modes of simulating a system all provide an important advantage when a system is complex with multiple operations occurring simultaneously—they

¹³ Within cognitive science there has been a heated controversy over whether the representations formed in the cognitive system are really image-like (Pylyshyn, 1981, 2003; Kosslyn, 1981, 1994). This discussion can remain neutral on the issue since the fundamental concern is not how the cognitive system encodes its representations but what it represents something as. The visual system represents objects as extended in space and changing through time. What is important here is that a scientist can represent mechanisms in much the way that she represents diagrams that she encounters (albeit with less detail than when she actually is looking at the diagram).

do not lose track of some of the interactions as a human imagining the operation of the system often does. But even when it is a human that is doing the imagining, what he or she is doing can also be characterized as simulating the system.

Representation and inference in mechanistic explanation is thus quite different from representation and inference in nomological explanation. While it is possible to give a linguistic description of a mechanism, the linguistic account is not privileged. Frequently diagrams provide a preferred representation of a mechanism. Inference involves a determination of how a mechanism behaves, and this is typically not achieved via logical inference but by simulating the activity of a mechanism, either by animating a diagram or by creating mental, computational, or scale model simulations.

3. Discovering and testing models of mechanisms

Advocates of the D-N account of explanation have been able to say very little about the discovery of explanations.¹⁴ On the nomological account, however discovery actually occurs, it would yield a law that fits a range of cases. When the law involves only observation terms, the scientist's task is to identify the appropriate terms and determine how they are related. For example, Galileo's law of free fall is: $d = (1/2)gt^2$ where the observation terms are distance (d), acceleration due to gravity (g , a measurable constant), and time (t). But when laws require positing theoretical terms that do not refer directly to observables, the D-N framework provides no real guidance regarding how scientists might arrive at such terms. For example, in Einstein's $E = mc^2$, energy (E) is a construct that was formulated on grounds other than direct observation or measurement.¹⁵

Mechanistic explanations, in contrast, seek to identify component parts and operations of a mechanism. Even an investigator who does not observe the components, but instead infers them, is construing them as the parts and operations of an actually existing mechanism. Accordingly, there is a great deal that can be said about the discovery process.¹⁶ The very conception of a mechanism lays out the tasks involved: the scientist must identify the working parts of the mechanism, determine what operations they perform, and figure out how they are organized so as to generate the phenomenon. This requires taking the mechanism apart, either physically or conceptually, a process that Bechtel and Richardson (1993) called *decomposition*.

¹⁴ Accordingly, Reichenbach (1966) made a principled distinction between the context of discovery and the context of justification. Justification was the proper focus of philosophy, while the context of discovery might be explored by psychologists.

¹⁵ Artificial intelligence researchers have been more inclined than philosophers to pursue an understanding of this process; for example (as we thank Paul Thagard for pointing out), consideration is given to abduction by Holland, Holyoak, Nisbett, & Thagard (1986) and model construction by Langley, Simon, Bradshaw, & Zytkow (1987).

¹⁶ A very fertile topic for further investigation that relates to the discussion of diagrams in the previous section concerns the role of diagrams in discovery. For two suggestive studies, both focused on the use of diagrams to solve problems in physics, see Cheng & Simon (1995) and Nersessian (1992).

There are two ways researchers decompose mechanisms—structurally or functionally, depending on whether they focus on component parts or component operations. Although both kinds of decomposition might be undertaken simultaneously for a given mechanism by a single investigator, generally it is different researchers in different fields who first propose the two kinds of decomposition. Integrating these into a complete account generally comes later—sometimes easily achieved once both accounts are in place, but often involving a period of coevolution during which the decompositions are repeatedly modified so as to become increasingly compatible.

To begin with functional decomposition, here the strategy is to start with the overall functioning or behavior of the mechanism and figure out what lower-level operations contribute to achieving it. These operations are characterized differently in different domains, but often involve transformations to some substrate. The biochemical system that performs metabolism in cells, for example, catabolizes glucose to carbon dioxide and water. The component operations are then characterized in terms of individual chemical reactions on a series of substrates (e.g., oxidizing or reducing them, adding or removing H₂O, etc.). A successful functional decomposition of this system will identify each operation and its passive parts (the substrate and the resulting product). What it lacks is specification of the active parts—that is, the enzyme that initiates and guides each reaction. Once all parts are identified, a structural decomposition accompanies the functional decomposition. As another example, in the domain of information processing systems, representations play roles comparable to substrate and product, and information processing activities are the operations (e.g., moving or altering representations).

Turning now to structural decomposition, it is important to emphasize at the outset that the structural components into which researchers seek to decompose a system are ones which perform the operations that figure in the functional decomposition. The majority of ways of structurally decomposing a system will not result in components that perform operations. As Craver (forthcoming) notes, one might dice any system into cubes, but these cubes do not individually perform operations in terms of which one can explain the phenomenon. To reflect this fact, we will, following Craver, refer to the components as *working parts*. Although the goal is to find working parts, it is possible to decompose a system structurally independently of actually being able to determine the operations the various components perform. This involves, for example, appraising that component structures are likely to be distinct working parts on other grounds. Or parts may be proposed as a way of getting started, with researchers honing in on the partitioning that gives working parts as they increasingly uncover the system's operations as well as its parts.

Cytological research on cell organelles provides an example of structural decomposition. Figure 3 shows the outcome of several rounds of decomposition of the cell (which required decades of research to achieve). We focus here on one important organelle, the mitochondrion, which can be observed in the cell's cytoplasm with an ordinary light microscope. The finer features of its structure were discovered through electron microscopy several years before their functional significance was recognized. Palade (1952) discovered that mitochondria not only have an outer membrane but also an inner membrane, which folds into the interior substance

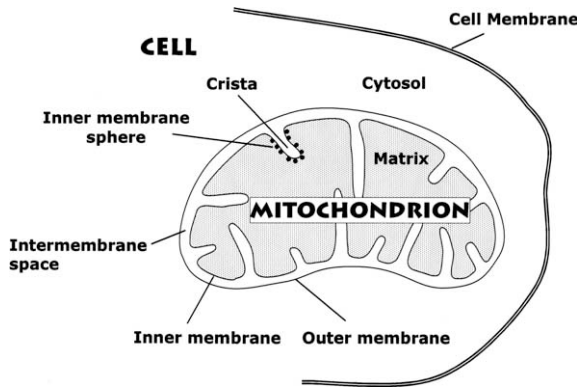


Fig. 3. A partial structural decomposition of the cell. The mitochondrion is an organelle located in the cell cytoplasm. The inner membrane of the mitochondrion folds into the inner part (matrix) of the mitochondrion. This creates cristae, on which are located small spheres that contain the enzyme ATPase.

(*matrix*) of the mitochondrion. The infoldings are called *cristae*. Later Fernández-Morán (Fernández-Morán, Oda, Blair, & Green, 1964) discovered small spheres on these cristae which were determined to be composed of an enzyme, ATPase.

Although researchers might frequently differentiate component operations before linking them with parts, or identify component parts without yet knowing what operations they perform, the ultimate goal is to link operations with parts. We refer to proposals of this kind as *localizations*. For example, as early as the nineteenth century it was recognized that the cell is the physiological structure that carries out the overall function of cellular respiration (metabolism). The next level of mechanistic explanation of this system (an achievement of mid-twentieth century cell biology) differentiates three major operations of cellular respiration and localizes each in a different part of the cell, as illustrated in Figure 4: glycolysis in the cytoplasm, the citric acid cycle in the inner part (matrix) of the mitochondrion, and the coupled operations of electron transport and oxidative phosphorylation in the cristae (infoldings of the inner membrane of the mitochondrion).

The ability to link parts with operations provides a means of corroborating each decomposition. Thus, linking a component operation with an independently identified component part provides evidence that both really figure in the mechanism. Failure to link operations with parts, on the other hand, can be grounds for doubting the existence of either the part or the operation. For example, from the time of its discovery in the nineteenth century until substantiated information about its operation was obtained in the 1960s, the Golgi apparatus was frequently suspected to be an artifact. In 1949 two future Nobel Laureates, Albert Claude and George Palade, were among the last to argue that the Golgi apparatus was an artifact and did not really exist in living cells (Palade & Claude, 1949a,b). Their reasoning was exemplary and included demonstrations of the ability to create structures with the appearance of the Golgi apparatus from materials much like those used to stain cell preparations. However, Palade later demonstrated that newly synthesized proteins migrate

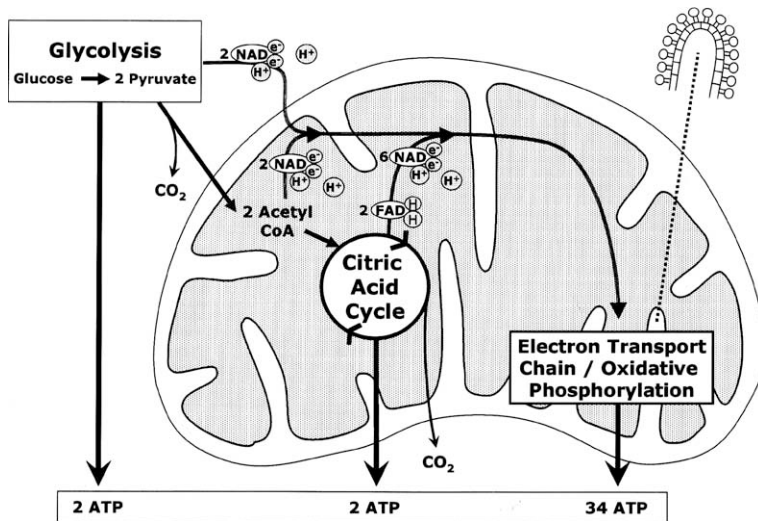


Fig. 4. Localization of the three major operations of cellular respiration in parts of the cell: glycolysis in the cytoplasm, the citric acid (krebs) cycle in the mitochondrial matrix, and the electron transport chain and oxidative phosphorylation in the cristae of the mitochondrion. Also shown is the energy yield from each operation (number of molecules of ATP synthesized from ADP).

from the ribosome to the Golgi area, where they are concentrated into secretory vesicles. Serious investigators (including Palade) no longer questioned the existence of the Golgi apparatus: association with a clearly delineated operation had vindicated the existence of the part itself.

The tasks of actually decomposing mechanisms into component parts and operations and of linking parts to operations can involve a variety of experimental procedures. These include inhibiting a component to observe its effect on the overall functioning of the mechanism or recording conditions internal to the mechanism when it is operative under various conditions (e.g., neuroimaging techniques such as fMRI). Investigating how such research strategies provide clues to the mechanisms responsible for particular phenomena is a relatively new undertaking in philosophy (Darden, 1991; Darden & Craver, 2002; Craver, 2002; Bechtel, forthcoming a; Bechtel & Richardson, 1993). But it is already clear that when the goal of discovery is the articulation of mechanisms, there is much more to be said about the discovery process than when, as in the D-N framework, the goal is simply the articulation of laws. In the sketch above we have focused on the discovery of the component parts and component operations in mechanisms, but a major part of the discovery process involves their organization (Bechtel & Richardson, 1993). Although we often think of component operations as linear, in the sense of occurring in sequence, living systems frequently make use of various forms of nonlinear organization. Nonlinear interactions can yield rather surprising forms of behavior, including self organizing behavior, which got little attention until the last decades of the twentieth century (Barabási & Albert, 1999; Kaneko & Tsuda, 2001). These investigations often rely

on computational modeling, and the techniques for developing and applying such models in understanding the organization of mechanisms are yet to be targeted in philosophical inquiry.

So far in this section we have focused on the discovery of mechanisms. However, science involves not just the advancement of hypotheses but also testing whether they are true in a given situation. While advocates of nomological explanations had little to say about discovery, they did attempt to articulate criteria for evaluation of proposed laws. Essentially, this involved making predictions based on the laws and evaluating the truth of these predictions. The challenge was to articulate a logic that would relate the truth or falsity of a prediction to the confirmation or falsification of the law. This is not the occasion to review the problems and solutions that have been proposed but simply to note the genesis of the problems for confirmation or falsification. Confirmation is challenging because there are always alternative possible laws from which one might make the same prediction (underdetermination). Falsification is challenging since a false prediction might be due to an error either in the proposed law or in one of the auxiliary hypotheses that figured in deriving the prediction (credit assignment).

Our goal here is to focus on how such testing occurs when mechanisms rather than laws are the vehicle of explanation. In Section 2, we argued that inferences about mechanisms often involve simulation rather than formal logical deduction, but modulo that difference, the challenge for testing hypotheses is much the same for mechanisms as for laws. A researcher tests hypothesized mechanisms by inferring how the mechanism or its components will behave under specified conditions and uses the results of actually subjecting the system to these conditions to evaluate the proposed mechanism. In principle the same challenges confront tests of mechanisms as tests of laws—different mechanisms might produce the same predictions (underdetermination) and when a prediction fails, the problem might lie either with the model of the mechanism or with auxiliary hypotheses invoked in making the prediction (credit assignment).

Although the problems of underdetermination and credit assignment are not eliminated just by focusing on mechanisms, the testing of mechanistic hypotheses is far more probative than the testing of laws. When a researcher sets out to test a model of a mechanism, the focus is typically not on the mechanism as a whole, but on specific components of the mechanism. Evidence is sought that a given component actually figures in the generation of the phenomenon in the way proposed. When expectations fail, the results are often diagnostic—they target specific components and operations and show how the actual components behave differently from those hypothesized. These results then point directly to what revisions are needed. Consequently, the results of tests of mechanisms are frequently much more informative than those of laws.

An important aspect of discovering and testing mechanisms is that inquiry does not simply consist of postulating and testing a mechanism. Rather, research typically begins with an oversimplified account in which only a few components and aspects of their organization are specified. Over time, it is repeatedly revised and filled in (Bechtel & Richardson, 1993). Machamer, Darden, and Craver (2000) refer to the

simplified account as a *sketch* of a mechanism. Much of the discovery and testing involved in mechanistic explanation focuses on proposing components or forms of organization that are to be added to or used to revise parts of a sketch, and (often late in the process) localizing the worked out component operations in the appropriate component part or parts. The entire process is typically a long-term endeavor (Bechtel, 2002). The result looks much more like a research program (Lakatos, 1970) than like the classical account of theory testing.

4. Generalizing without laws

An important desideratum for scientific explanations is that they generalize to cases beyond those for which they were initially proposed. This is a seeming virtue of invoking general laws in explanations. Laws are commonly represented in universal conditional statements, and hence apply to any situation in which the antecedent of the conditional is satisfied. So generalization is automatic.¹⁷ A well known example is Newton's first law of motion: if there is no force on a body, its momentum will remain constant. This applies to any body and its conclusion can be applied to any body with no force operating on it. In contrast, models of mechanisms can be highly specific, taking account of the particular factors at work in a specific case in which a phenomenon is studied. As research proceeds, scientists find variants of what initially might seem to be the same mechanism, for example, the mechanisms responsible for oxidative phosphorylation in liver versus heart cells in cows. The mechanistic approach seems to make explanation—discovery of the mechanism responsible for a phenomenon—highly context bound. What sort of generality is then possible?

To address this issue, we can consider a related problem from another domain, that of concepts and categorization. Most philosophers and psychologists prior to the early 1970s construed concepts as having definitions that provided necessary and sufficient conditions for satisfaction of the concept. An exception was Wittgenstein (1953), who objected that it did not seem possible to provide definitions even for such ordinary concepts as *game*. He suggested that instances of a concept might not share any distinctive common properties, but rather merely resemble each other in the way members of a family do. Psychologist Eleanor Rosch provided an empirical foundation for this idea by showing that people could rate the typicality of instances with respect to a category and that these ratings predicted performance measures such as response time to verify category membership (Rosch, 1978, 1975). With respect to *bird*, for example, robins are highly typical, chickens atypical, and penguins highly atypical exemplars. These findings posed a challenge to the traditional view, since if defining features marked the set of items satisfying a concept, all items that possessed the features should be equally good exemplars of it. Alternatives emerged, especially exemplar theories, in which prototypes play a key role and

¹⁷ It was in fact this generalizability of laws that led David Hull (1978) to deny that there were laws about biological species once he argued that species were in fact individuals, not generalized classes.

are themselves based on the best exemplars (Rosch, 1975), properties of exemplars, or both (Smith & Medin, 1981). Membership in a category is then a matter of degree: an item will be a member (exemplar) of a category to the extent that it is similar to the prototype.

Prototype and exemplar theories suggest a way to approach the issue of generalizing mechanistic explanations.¹⁸ Different mechanisms may exhibit similarity relations to each other without being exactly the same. For example, mechanisms of protein synthesis may be similar in different organisms—or different cell types in the same organism—without being identical. Certain memory encoding mechanisms, to take another example, may be similar across some delimited range of species.

Appeals to similarity have been notoriously suspect in philosophy in the wake of the objections raised by Goodman (1955). There are an infinite number of respects in which one can judge similarity and any two objects in the universe are similar to others on some of these dimensions. To make the appeal to similarity precise, the dimensions and metrics need to be specified. Yet, without making the dimensions and metrics precise, scientists do make judgments about similarity. They seem to have an intuitive sense of which dimensions are pertinent and which are not.

We started this section by noting that nomological explanation provided generalization in a straightforward manner. The need to invoke similarity relations to generalize mechanistic explanations seems to be a limitation of the mechanistic account. But in fact it may be the mechanistic account that provides a better characterization of how explanations are generalized in many sciences. Laws are generalized by being universally quantified and their domain of applicability is specified by the conditions in their antecedents. On this account, no instance better exemplifies the law than any other. But in actual investigations of mechanisms, scientists often focus on a specific exemplar when first developing their accounts. Such an exemplar is often referred to as a *model system* and may be chosen for a variety of reasons. For example, much of the research on neural transmission was conducted on the giant squid axon because its size rendered it easy to study. Many investigations of oxidative metabolism focused on cow heart mitochondria since cow hearts were readily available from slaughter houses and mitochondria are plentiful in heart tissue. Choices of model systems sometimes are rooted in, and maintain, differences of tradition or orientation between closely related disciplines. For example, cell biologists who had developed techniques for cell fractionation with mammalian cells used liver and pancreatic cells from rats to study microsomes and their relation to protein synthesis. Molecular biologists, in contrast, generally preferred to work with bacteria and bacteriophages and did so in developing their own models of protein synthesis.

Having used a particular model system to initiate investigation into the mechanism responsible for a given phenomenon, researchers eventually need to determine experimentally how well their accounts will generalize. Examining the counterpart

¹⁸ See Paul Churchland (1989) for an account of explanation that invoked prototypes apart from (and prior to) the move towards a mechanistic approach to philosophy of science.

mechanism in other organs and species, any differences can be identified and their importance can be assessed. Unlike research in the D-N framework, in which the conditions of application of a proposed law are incorporated by refining its antecedent, variations are articulated in the description of the mechanism itself. For example, it may be that two variations on the mechanism exist in which a minor part is or is not included, and that this has a small but systematic impact on several component operations and their coordination. Or minor variations on what is essentially the same operation may be found. Findings of this kind are a regular part of the scientific literature in biology. Such papers do not serve only the traditional role of independent confirmation of a theoretical idea—they also identify variations in the mechanism and their significance.

5. Conclusions

Explanation in the life sciences often takes the form of identifying the mechanism responsible for a given phenomenon. Producing a mechanistic explanation is a cognitive activity that involves representing and reasoning about nature. But mechanistic explanations are different in many respects from nomological explanations. First, linguistic representations are not privileged and often diagrams provide a better vehicle for representing mechanisms. Making inferences about mechanisms often involves simulating the operation of the mechanism, not generating logical deductions. Second, the fact that mechanisms consist of organized systems of components entails that discovering mechanistic explanations involves procedures for decomposing and modeling mechanisms. Thus, it is possible to articulate procedures for discovering mechanistic explanations. Moreover, the inferences invoked in testing mechanistic explanations are often much more constrained than those used to test nomological explanations. Investigators focus on tests that are likely to be diagnostic of the operation and organization of components. Third, generalization involves not just applying the same law to different conditions, but identifying the similarities and differences between mechanisms operative in different circumstances.

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