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The Dilemma of Obedience

Obedience is as basic an element in the structure of social life as one can point to. Some system of authority is a requirement of all communal living, and it is only the man dwelling in isolation who is not forced to respond, through defiance or submission, to the commands of others. Obedience, as a determinant of behavior, is of particular relevance to our time. It has been reliably established that from 1933 to 1945 millions of innocent people were systematically slaughtered on command. Gas chambers were built, death camps were guarded, daily quotas of corpses were produced with the same efficiency as the manufacture of appliances. These inhumane policies may have originated in the mind of a single person, but they could only have been carried out on a massive scale if a very large number of people obeyed orders.

Obedience is the psychological mechanism that links individual action to political purpose. It is the dispositional cement that binds men to systems of authority. Facts of recent history and observation in daily life suggest that for many people obedience may be a deeply ingrained behavior tendency, indeed, a prepotent impulse overriding training in ethics, sympathy, and moral conduct. C. P. Snow (1961) points to its importance when he writes:

When you think of the long and gloomy history of man, you will find more hideous crimes have been committed in the name of obedience than have ever been committed in the name of rebellion. If you doubt that, read William Shirer's 'Rise and Fall of the Third Reich.' The German Officer Corps were brought up in the most rigorous code of obedience . . . in the name of obedience they were party to, and assisted in, the most wicked large scale actions in the history of the world. (p. 24)

The Nazi extermination of European Jews is the most extreme instance of abhorrent immoral acts carried out by thousands of people in the name of obedience. Yet in lesser degree this type of thing is constantly recurring: ordinary citizens are ordered to destroy other people, and they do so because they consider it their duty to obey orders. Thus, obedience to authority, long praised as a virtue, takes on a new aspect when it serves a malevolent cause; far from appearing as a virtue, it is transformed into a heinous sin. Or is it?

The moral question of whether one should obey when commands conflict with conscience was argued by Plato, dramatized in *Antigone*, and treated to philosophic analysis in every historical epoch. Conservative philosophers argue that the very fabric of society is threatened by disobedience, and even when the act prescribed by an authority is an evil one, it is better to carry out the act than to wrench at the structure of authority. Hobbes stated further that an act so executed is in no sense the responsibility of the person who carries it out but only of the authority that orders it. But humanists argue for the primacy of individual conscience in such matters, insisting that the moral judgments of the individual must override authority when the two are in conflict.

The legal and philosophic aspects of obedience are of enormous import, but an empirically grounded scientist eventually comes to the point where he wishes to move from abstract discourse to the careful observation of concrete instances. In order to take a close look at the act of obeying, I set up a simple

experiment at Yale University. Eventually, the experiment was to involve more than a thousand participants and would be repeated at several universities, but at the beginning, the conception was simple. A person comes to a psychological laboratory and is told to carry out a series of acts that come increasingly into conflict with conscience. The main question is how far the participant will comply with the experimenter's instructions before refusing to carry out the actions required of him.

But the reader needs to know a little more detail about the experiment. Two people come to a psychology laboratory to take part in a study of memory and learning. One of them is designated as a "teacher" and the other a "learner." The experimenter explains that the study is concerned with the effects of punishment on learning. The learner is conducted into a room, seated in a chair, his arms strapped to prevent excessive movement, and an electrode attached to his wrist. He is told that he is to learn a list of word pairs; whenever he makes an error, he will receive electric shocks of increasing intensity.

The real focus of the experiment is the teacher. After watching the learner being strapped into place, he is taken into the main experimental room and seated before an impressive shock generator. Its main feature is a horizontal line of thirty switches, ranging from 15 volts to 450 volts, in 15-volt increments. There are also verbal designations which range from SLIGHT SHOCK to DANGER—SEVERE SHOCK. The teacher is told that he is to administer the learning test to the man in the other room. When the learner responds correctly, the teacher moves on to the next item; when the other man gives an incorrect answer, the teacher is to give him an electric shock. He is to start at the lowest shock level (15 volts) and to increase the level each time the man makes an error, going through 30 volts, 45 volts, and so on.

The "teacher" is a genuinely naïve subject who has come to the laboratory to participate in an experiment. The learner, or victim, is an actor who actually receives no shock at all. The point of the experiment is to see how far a person will proceed in a

concrete and measurable situation in which he is ordered to inflict increasing pain on a protesting victim. At what point will the subject refuse to obey the experimenter?

Conflict arises when the man receiving the shock begins to indicate that he is experiencing discomfort. At 75 volts, the "learner" grunts. At 120 volts he complains verbally; at 150 he demands to be released from the experiment. His protests continue as the shocks escalate, growing increasingly vehement and emotional. At 285 volts his response can only be described as an agonized scream.

Observers of the experiment agree that its gripping quality is somewhat obscured in print. For the subject, the situation is not a game; conflict is intense and obvious. On one hand, the manifest suffering of the learner presses him to quit. On the other, the experimenter, a legitimate authority to whom the subject feels some commitment, enjoins him to continue. Each time the subject hesitates to administer shock, the experimenter orders him to continue. To extricate himself from the situation, the subject must make a clear break with authority. The aim of this investigation was to find when and how people would defy authority in the face of a clear moral imperative.

There are, of course, enormous differences between carrying out the orders of a commanding officer during times of war and carrying out the orders of an experimenter. Yet the essence of certain relationships remain, for one may ask in a general way: How does a man behave when he is told by a legitimate authority to act against a third individual? If anything, we may expect the experimenter's power to be considerably less than that of the general, since he has no power to enforce his imperatives, and participation in a psychological experiment scarcely evokes the sense of urgency and dedication engendered by participation in war. Despite these limitations, I thought it worthwhile to start careful observation of obedience even in this modest situation, in the hope that it would stimulate insights and yield general propositions applicable to a variety of circumstances.

A reader's initial reaction to the experiment may be to wonder

why anyone in his right mind would administer even the first shocks. Would he not simply refuse and walk out of the laboratory? But the fact is that no one ever does. Since the subject has come to the laboratory to aid the experimenter, he is quite willing to start off with the procedure. There is nothing very extraordinary in this, particularly since the person who is to receive the shocks seems initially cooperative, if somewhat apprehensive. What is surprising is how far ordinary individuals will go in complying with the experimenter's instructions. Indeed, the results of the experiment are both surprising and dismaying. Despite the fact that many subjects experience stress, despite the fact that many protest to the experimenter, a substantial proportion continue to the last shock on the generator.

Many subjects will obey the experimenter no matter how vehement the pleading of the person being shocked, no matter how painful the shocks seem to be, and no matter how much the victim pleads to be let out. This was seen time and again in our studies and has been observed in several universities where the experiment was repeated. It is the extreme willingness of adults to go to almost any lengths on the command of an authority that constitutes the chief finding of the study and the fact most urgently demanding explanation.

A commonly offered explanation is that those who shocked the victim at the most severe level were monsters, the sadistic fringe of society. But if one considers that almost two-thirds of the participants fall into the category of "obedient" subjects, and that they represented ordinary people drawn from working, managerial, and professional classes, the argument becomes very shaky. Indeed, it is highly reminiscent of the issue that arose in connection with Hannah Arendt's 1963 book, *Eichmann in Jerusalem*. Arendt contended that the prosecution's effort to depict Eichmann as a sadistic monster was fundamentally wrong, that he came closer to being an uninspired bureaucrat who simply sat at his desk and did his job. For asserting these views, Arendt became the object of considerable scorn, even calumny. Somehow, it was felt that the monstrous deeds carried out by Eich-

mann required a brutal, twisted, and sadistic personality, evil incarnate. After witnessing hundreds of ordinary people submit to the authority in our own experiments, I must conclude that Arendt's conception of the *banality of evil* comes closer to the truth than one might dare imagine. The ordinary person who shocked the victim did so out of a sense of obligation—a conception of his duties as a subject—and not from any peculiarly aggressive tendencies.

This is, perhaps, the most fundamental lesson of our study: ordinary people, simply doing their jobs, and without any particular hostility on their part, can become agents in a terrible destructive process. Moreover, even when the destructive effects of their work become patently clear, and they are asked to carry out actions incompatible with fundamental standards of morality, relatively few people have the resources needed to resist authority. A variety of inhibitions against disobeying authority come into play and successfully keep the person in his place.

Sitting back in one's armchair, it is easy to condemn the actions of the obedient subjects. But those who condemn the subjects measure them against the standard of their own ability to formulate high-minded moral prescriptions. That is hardly a fair standard. Many of the subjects, at the level of stated opinion, feel quite as strongly as any of us about the moral requirement of refraining from action against a helpless victim. They, too, in general terms know what ought to be done and can state their values when the occasion arises. This has little, if anything, to do with their actual behavior under the pressure of circumstances.

If people are asked to render a moral judgment on what constitutes appropriate behavior in this situation, they unfailingly see disobedience as proper. But values are not the only forces at work in an actual, ongoing situation. They are but one narrow band of causes in the total spectrum of forces impinging on a person. Many people were unable to realize their values in action and found themselves continuing in the experiment even though they disagreed with what they were doing.

The force exerted by the moral sense of the individual is less

effective than social myth would have us believe. Though such prescriptions as "Thou shalt not kill" occupy a pre-eminent place in the moral order, they do not occupy a correspondingly intractable position in human psychic structure. A few changes in newspaper headlines, a call from the draft board, orders from a man with epaulets, and men are led to kill with little difficulty. Even the forces mustered in a psychology experiment will go a long way toward removing the individual from moral controls. Moral factors can be shunted aside with relative ease by a calculated restructuring of the informational and social field.

What, then, keeps the person obeying the experimenter? First, there is a set of "binding factors" that lock the subject into the situation. They include such factors as politeness on his part, his desire to uphold his initial promise of aid to the experimenter, and the awkwardness of withdrawal. Second, a number of adjustments in the subject's thinking occur that undermine his resolve to break with the authority. The adjustments help the subject maintain his relationship with the experimenter, while at the same time reducing the strain brought about by the experimental conflict. They are typical of thinking that comes about in obedient persons when they are instructed by authority to act against helpless individuals.

One such mechanism is the tendency of the individual to become so absorbed in the narrow technical aspects of the task that he loses sight of its broader consequences. The film *Dr. Strangelove* brilliantly satirized the absorption of a bomber crew in the exacting technical procedure of dropping nuclear weapons on a country. Similarly, in this experiment, subjects become immersed in the procedures, reading the word pairs with exquisite articulation and pressing the switches with great care. They want to put on a competent performance, but they show an accompanying narrowing of moral concern. The subject entrusts the broader tasks of setting goals and assessing morality to the experimental authority he is serving.

The most common adjustment of thought in the obedient subject is for him to see himself as not responsible for his own

actions. He divests himself of responsibility by attributing all initiative to the experimenter, a legitimate authority. He sees himself not as a person acting in a morally accountable way but as the agent of external authority. In the postexperimental interview, when subjects were asked why they had gone on, a typical reply was: "I wouldn't have done it by myself. I was just doing what I was told." Unable to defy the authority of the experimenter, they attribute all responsibility to him. It is the old story of "just doing one's duty" that was heard time and time again in the defense statements of those accused at Nuremberg. But it would be wrong to think of it as a thin alibi concocted for the occasion. Rather, it is a fundamental mode of thinking for a great many people once they are locked into a subordinate position in a structure of authority. The disappearance of a sense of responsibility is the most far-reaching consequence of submission to authority.

Although a person acting under authority performs actions that seem to violate standards of conscience, it would not be true to say that he loses his moral sense. Instead, it acquires a radically different focus. He does not respond with a moral sentiment to the actions he performs. Rather, his moral concern now shifts to a consideration of how well he is living up to the expectations that the authority has of him. In wartime, a soldier does not ask whether it is good or bad to bomb a hamlet; he does not experience shame or guilt in the destruction of a village: rather he feels pride or shame depending on how well he has performed the mission assigned to him.

Another psychological force at work in this situation may be termed "counteranthropomorphism." For decades psychologists have discussed the primitive tendency among men to attribute to inanimate objects and forces the qualities of the human species. A countervailing tendency, however, is that of attributing an impersonal quality to forces that are essentially human in origin and maintenance. Some people treat systems of human origin as if they existed above and beyond any human agent, beyond the control of whim or human feeling. The human element behind

agencies and institutions is denied. Thus, when the experimenter says, "The experiment *requires* that you continue," the subject feels this to be an imperative that goes beyond any merely human command. He does not ask the seemingly obvious question, "Whose experiment? Why should the designer be served while the victim suffers?" The wishes of a man—the designer of the experiment—have become part of a schema which exerts on the subject's mind a force that transcends the personal. "It's *got* to go on. It's *got* to go on," repeated one subject. He failed to realize that a man like himself wanted it to go on. For him the human agent had faded from the picture, and "The Experiment" had acquired an impersonal momentum of its own.

No action of itself has an unchangeable psychological quality. Its meaning can be altered by placing it in particular contexts. An American newspaper recently quoted a pilot who conceded that Americans were bombing Vietnamese men, women, and children but felt that the bombing was for a "noble cause" and thus was justified. Similarly, most subjects in the experiment see their behavior in a larger context that is benevolent and useful to society—the pursuit of scientific truth. The psychological laboratory has a strong claim to legitimacy and evokes trust and confidence in those who come to perform there. An action such as shocking a victim, which in isolation appears evil, acquires a totally different meaning when placed in this setting. But allowing an act to be dominated by its context, while neglecting its human consequences, can be dangerous in the extreme.

At least one essential feature of the situation in Germany was not studied here—namely, the intense devaluation of the victim prior to action against him. For a decade and more, vehement anti-Jewish propaganda systematically prepared the German population to accept the destruction of the Jews. Step by step the Jews were excluded from the category of citizen and national, and finally were denied the status of human beings. Systematic devaluation of the victim provides a measure of psychological justification for brutal treatment of the victim and has been the constant accompaniment of massacres, pogroms, and wars. In all

likelihood, our subjects would have experienced greater ease in shocking the victim had he been convincingly portrayed as a brutal criminal or a pervert.

Of considerable interest, however, is the fact that many subjects harshly devalue the victim *as a consequence* of acting against him. Such comments as, "He was so stupid and stubborn he deserved to get shocked," were common. Once having acted against the victim, these subjects found it necessary to view him as an unworthy individual, whose punishment was made inevitable by his own deficiencies of intellect and character.

Many of the people studied in the experiment were in some sense against what they did to the learner, and many protested even while they obeyed. But between thoughts, words, and the critical step of disobeying a malevolent authority lies another ingredient, the capacity for transforming beliefs and values into action. Some subjects were totally convinced of the wrongness of what they were doing but could not bring themselves to make an open break with authority. Some derived satisfaction from their thoughts and felt that—within themselves, at least—they had been on the side of the angels. What they failed to realize is that subjective feelings are largely irrelevant to the moral issue at hand so long as they are not transformed into action. Political control is effected through action. The attitudes of the guards at a concentration camp are of no consequence when in fact they are allowing the slaughter of innocent men to take place before them. Similarly, so-called "intellectual resistance" in occupied Europe—in which persons by a twist of thought felt that they had defied the invader—was merely indulgence in a consoling psychological mechanism. Tyrannies are perpetuated by diffident men who do not possess the courage to act out their beliefs. Time and again in the experiment people devalued what they were doing but could not muster the inner resources to translate their values into action.

A variation of the basic experiment depicts a dilemma more common than the one outlined above: the subject was not ordered to push the trigger that shocked the victim, but merely to

perform a subsidiary act (administering the word-pair test) before another subject actually delivered the shock. In this situation, 37 of 40 adults from the New Haven area continued to the highest shock level on the generator. Predictably, subjects excused their behavior by saying that the responsibility belonged to the man who actually pulled the switch. This may illustrate a dangerously typical situation in complex society: it is psychologically easy to ignore responsibility when one is only an intermediate link in a chain of evil action but is far from the final consequences of the action. Even Eichmann was sickened when he toured the concentration camps, but to participate in mass murder he had only to sit at a desk and shuffle papers. At the same time the man in the camp who actually dropped Cyclon-B into the gas chambers was able to justify *his* behavior on the grounds that he was only following orders from above. Thus there is a fragmentation of the total human act; no one man decides to carry out the evil act and is confronted with its consequences. The person who assumes full responsibility for the act has evaporated. Perhaps this is the most common characteristic of socially organized evil in modern society.

The problem of obedience, therefore, is not wholly psychological. The form and shape of society and the way it is developing have much to do with it. There was a time, perhaps, when men were able to give a fully human response to any situation because they were fully absorbed in it as human beings. But as soon as there was a division of labor among men, things changed. Beyond a certain point, the breaking up of society into people carrying out narrow and very special jobs takes away from the human quality of work and life. A person does not get to see the whole situation but only a small part of it, and is thus unable to act without some kind of over-all direction. He yields to authority but in doing so is alienated from his own actions.

George Orwell caught the essence of the situation when he wrote:

As I write, highly civilized human beings are flying overhead, trying to kill me. They do not feel any enmity against me as an individual, nor

I against them. They are only "doing their duty," as the saying goes. Most of them, I have no doubt, are kind-hearted law abiding men who would never dream of committing murder in private life. On the other hand, if one of them succeeds in blowing me to pieces with a well-placed bomb, he will never sleep any the worse for it.

CHAPTER

2

Method of Inquiry

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Simplicity is the key to effective scientific inquiry. This is especially true in the case of subject matter with a psychological content. Psychological matter, by its nature, is difficult to get at and likely to have many more sides to it than appear at first glance. Complicated procedures only get in the way of clear scrutiny of the phenomenon itself. To study obedience most simply, we must create a situation in which one person orders another person to perform an observable action and we must note when obedience to the imperative occurs and when it fails to occur.

If we are to measure the strength of obedience and the conditions by which it varies, we must force it against some powerful factor that works in the direction of disobedience, and whose human import is readily understood.

Of all moral principles, the one that comes closest to being universally accepted is this: one should not inflict suffering on a helpless person who is neither harmful nor threatening to oneself. This principle is the counterforce we shall set in opposition to obedience.

A person coming to our laboratory will be ordered to act against another individual in increasingly severe fashion. Accordingly, the pressures for disobedience will build up. At a point not known beforehand, the subject may refuse to carry out this