

## CHAPTER II

### THEORETICAL BACKGROUND TO THE PROBLEM

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THEORETICAL BACKGROUND TO THE PROBLEM

" We are what we are only through the community of mutually conscious understandings. There can be no man who is a man for himself alone, as a mere individual ..... Authentic communication is a loving contest in which each man surrenders his weapons to the other ..... Communication is the aim of philosophy, and in communication all its other aims are ultimately rooted : awareness of being, illumination through love, attainment of peace. "

( Karl Jaspers )

INTERPERSONAL COMMUNICATION

Understanding, insight, empathy, comprehension - all are attempts to know what happens in another human being.

These are more or less conscious modes of identification which derive from the first instance, from purely biological impulses. The small child places itself opposite objects and tries to get a conception of them. Early empathy and identification ask for a rebellious attitude, self-exploration in a world of magic thinking. Our intellectual training, however, inhibits the process of feeling with and in things. It teaches children to observe facts and events in a cold and sober way ; to walk around them but never to creep into them with their imagination. Feeling about things is regarded as inferior to formal consideration of them.

Deep communication, "feeling in" and listening surrender" to another must be learned first in the family circle. It is here that the first understanding through mutual identification is trained. Only if this mutual relationship is good can the individual integrate himself into other social formations. Many who do not succeed at home search for love and understanding in the outside world, but before they can understand others they must conquer the neurotic tendencies formed in their uncongenial home environments.

Often we give in to the terrible pretense of understanding because we don't want contact and communication. We say "yes" when there is no understanding at all, or even when there is fear of being understood, fear of losing oneself. Sometimes we try to understand by hearing, reading, and ruminating, finally giving way to mythical confusion. Instead of understanding, we learn to submit to a magic juggler of words.

Deep understanding and communication begin between two people. If this has been experienced, the way to the world lies open. Understanding is pausing momentarily, stepping outside the continual stream of occurrences to observe the passing scene. He who always runs through life never learns to understand anyone else.

What is the impulse for understanding each other? It is not only a loving interest, not only putting oneself in another's place to achieve more peaceful co-operation, it is also to control the secrets of the other person, to obtain power over him by understanding. We must live together, we are involved in the same social pressures, and processes, we must learn how to react and how to respond to each other's behavior. Hence, we must know how the other person will react. Without mutual understanding community life is impossible. Every animal learns to adjust himself to the jungle community, but man learns more; he learns to deal with his fellow beings. For man there is mutual interaction through which both parties change. There is mutual redemption and mutual self-clarification in human communication. Human understanding means identification with the behavior of others, getting acquainted with it in order to be able to anticipate behavior.

Mutual understanding is the result of maximal communication through mutual empathy. It can approximately be reached through means of manifold tools of communication, of which semantic language is only one.

Only people of similar mental and cultural structure are able to have deep contact with each other. The more primitive and simple structure will never understand the more civilized and differentiated one. The lower form cannot comprehend the higher one and for the higher structure it is very difficult to imagine itself in the more primitive situation. Every world of thoughts is limited by its own language and patterns of thinking. The more developed form, even when it can imagine the simpler form, is limited by its own rigidity and habit formation, as a result of which the stammering of others cannot be reached or understood.

Only the mature wish for mutual identification, for psychological understanding, and a loving approach toward others, can surpass such limitations. This attitude makes it possible to understand the lower or the different form, and to estimate the more differentiated capacities. Good conversation is only possible with people who love and value each other. They understand one another because they mutually supply and complement the imperfections of the word.

Good understanding means freeing oneself of word and language and of one's personal limitations of thinking. Let us call it intuitive understanding. There is harmony, a correlation of rhythm and intention, of mood and word sounds. The dilemma of every communication is the choice between verbal communication and silence. Understanding is possible without words.

Both the individual and society derive their basic meaning from the relations that exist between man and man. At the moment of birth the individual comes into personal being in response to his being met by his mother and father and all the others who care for him in all the concreteness of his need. And out of that same meeting the family community is born. Many people think that the individual as a social being derives from a "given" social nature of man ; others hold that society and interpersonal relations are the sum of individual lives. Neither of these views recognized that upon which they depend, namely, the interaction between the individual and personal environment.

There are many illustrations of the importance of dialogue. From the very beginning of the individual's life it is communication that guarantees its continuation. While dependent on food and care, the newborn infant also needs the communication that is implicit in them and conveyed in the way they are given. Mother feeds and bathes, cuddles and sings to her baby, and through this activity the infant receives the message that she loves him and wants him. This message also means to him that he is loved and therefore lovable, accepted and therefore acceptable. Or, if his mother is hostile and irritable and expresses her resentment in neglect and roughness, he receives her contrary message that she regards him as a nuisance, which conveys to him that he is unloved and unlovable, unaccepted and unacceptable. In the first instance, the message of love and care is life giving and nurturing ; in the second,

the message is alienating and destructive. And this is true for mother as well as for child, because in loving and serving her child the mother is giving herself, making herself available as a person to him. For the act of loving another gives to the lover as well as to the one loved, and to speak the word of love is to be loved as well as to love.

The infant participates in this dialogue, too. He cries, waves his arms, kicks his legs and in other non-verbal ways asks his questions, and makes his positive and negative comments about his life. The response of his world, made to him by his mother and those around him, influences quite decisively his future capacity for communication. If his initial communications are accepted, not necessarily approved, he will grow in his capacity to speak ; if they are not, he will become inhibited, resentful, and defensive, which in turn may only increase his mother's destructive communication. Sometimes the communication between them makes both sad and listless, and at other times glad and alive.

The relation between a man and a woman also can reveal how indispensable is the life of dialogue. In addition to their differences as man and woman, there are other multi-faceted differences between them. Some event in which each has participated has brought them together, such as a meeting of eyes or the recognition in a discussion that they share the same opinion or attitude. In this kind of event the dialogue begins.

Each then undertakes to seek and explore the other. It is important to know who the other truly is, and this is possible through dialogue that employs both the language of relationship and the language of words to seek to know life through the other. Love is born out of this dialogue in which there is both the intimacy of what these two people share in common and the distance of the unplumbed mystery of each.

The relationship between parents and children also calls for a practice of the principle of dialogue. How hard it is for parents to respect and trust the uniqueness and powers of their children. While there are those aspects of life in which parents must decide and act for them until such time as they are able to decide and act for themselves, children should always have the experience of being met as free persons in a trusting and responsible relationship. The need for this trust increases as the children grow older, and it becomes acute at adolescence when the transition from childhood to adulthood is taking place. Then it is imperative that young persons be allowed their freedom, but equally imperative that they also have encounter with persons of conviction who, at the same time, respect their freedom. Without this kind of relationship the individual simply flees from life, becomes passive and locked up within himself ; or he may become a fighting person whose creativity is lost in the wastelands of his aggression. The importance of dialogue for this juncture of growth lies in the fact that it expresses mutual respect so that youth need neither repress



creativity nor throw it away, and age need neither seek to dominate nor turn away from youth in frustration. In those instances where the young person has withdrawn from life or is in hostile combat with it, as in delinquency, dialogue may accomplish the miracle of bringing the young person back into a creative relation to life.

### THE HELPING RELATIONSHIP

The words "helping relationship" are used often by counselors, social workers, psychotherapists, and physicians to characterize the services they provide. However, these terms are not understood by other people and besides, those engaged in helping relationships seem to be markedly out of step with the beat of today's drums. A dozen different revolutions are taking place in industry, education, medicine, and government. They are profoundly affecting every field of human activity : communication, marketing, health, the substance and structure of work and home life. We live in a time known for its application of scientific knowledge and advanced technology. It is a time aptly characterized by W.B. Yeats : " The visible world is no longer a reality and the unseen world is no longer a dream."

Electronic data storage and retrieval are common place. The focus is upon use of automated equipment in communication, industry, and education, and has led some to label the era "the computerized age." Certainly the constant and conscious attention to "hardware", as well as the investment of resources

devoted to it, seems to push to the fringes those whose efforts are directed toward establishing and maintaining helping relationships. The methods used for aiding people to live together amicably on an alarmingly shrinking planet are still rudimentary. This combination of factors confronts society with a fantastic and frightening paradox : we are able to control and improve everything except the one element that may spell the doom of the human race. We have employed talent and unprecedented amounts of money to enable people to live better and longer, to enjoy leisure, and to take full advantage of brilliant technological breakthroughs. But whether people survive and improve depends upon the resolution of man's differences with himself and his fellow man. It is to be hoped that while man's attention is directed to the machine, changes will occur which will fundamentally enrich his relationships with his fellows and permit the genuine betterment of life.

Despite technological progress, man's essential and perennial problems remain : Who am I ? What is reality ? How did I become the way I am ? Am I normal ? What is good ? Of what value is life ? How can I be more productive ..... more sensitive ..... more sensible ..... more alive ? Man's dreams, drives, concerns, and very humanness can be observed in a bewildering variety of behavioral situations.

The newborn is equipped with certain basic, biologically determined drives (such as hunger), certain capacities to be stimulated (by touch, light, sound), and certain abilities to respond (gross movements). The human organism moves through a

series of developmental stages, infancy, childhood, adolescence, adulthood, maturity and senility - through maturation and learning. During each stage man accomodates himself in some manner to the tasks, demands, and realities expected of him by others as well as by himself. He learns to walk, to talk, to distinguish right from wrong, to trust, to be independent, to develop a scale of values and an identity as a person, to choose and prepare for an occupation, to live intimately with a spouse, and to perpetuate - to cite but a few tasks. At each stage he orients himself toward goals which give direction and expression to his behavior, actions, feelings, thoughts and ideals.

From a gross biological point of view, life may be reduced to a simple continuum : birth, maturity, reproduction, death. But even the biologist acknowledges that many other significant events occur along the way. Man himself embroiders upon the fundamental biological pattern. In fulfilling his destiny, every individual experiences these four biological stages. They are often seen as critical periods and approached with varying degrees of apprehension. Some people, acting in response to their culture, habitually treat them in a matter-of-fact manner. Others exhibit much anxiety and uncertainty because their very fate hangs in the balance. Consequently, men are not disposed to leave the outcome supinely to chance. They seek assistance in coping with these crises and the feelings and emotions associated with them.

Significant multiple forces, both external and internal, operate to inhibit as well as to facilitate man's definition and perception of his world and himself. Because he often feels distressed, ineffective, bewildered, anxious, disturbed or uninformed about himself, and his world, he turns to others for aid in simplifying reality so that he can effectively cope with it. He seeks help in understanding his and others' behavior, his relationships with others, his decisions, his choices, his situation, his goals - his very being. He seeks help in preventing or remedying stressful situations involving the unpredictability and the inconsistency of existence. In the past man feared realistically the catastrophes of nature, such as plague, drought, famine. Today he fears, perhaps equally realistically, enervation through mechanical equipment. Many have speculated that the complexities and perplexities of the modern world nature feelings of gnawing uncertainty and powerlessness. A by-product of these feelings is alienation and disaffection. In previous ages, setback, privation or disease were more readily attributed to divine punishment. With this type of "deified" rationale it seemed reasonably clear when man was to act and when to submit. But in contemporary times few simplistic or clear answers are available.

The objects of man's apprehensions have changed, but the basic theme remains the same. Adversity and its attendant fear and anxiety have to be managed and mastered. The individual, therefore, looks for help to overcome unfavourable situations to establish unity in his life, and to achieve integration of self.

He does so because he is capable of learning how to increase his chances for satisfaction and for survival.

When man needs help, he turns to people. Even in those contexts where the nature of the help provided is direct and physical, the relationship between two people adds much to the experience. To be aware of the importance of personal relationships and to make society less impersonal are the helping person's responsibility, opportunity and challenge.

Presumably, when counselors and others use the term "helping relationship" they mean the endeavor, by interaction with another person, to contribute in a facilitating positive way to his improvement. The helping professions engage in activities designed to enable others to understand, to modify or to enrich their behavior, so that growth takes place. They are interested in the behavior of people - living, feeling, knowing people - and in their attitudes, motives, ideas, responses and needs. The helping person thinks not of individuals as "behavior problems" but as people seeking to discover the substance of life in this cosmos, seeking to feel comfortable about themselves and other people and to meet life's demands productively.

Rogers (1961) has defined the helping relationship in these words : " By this term I mean a relationship in which at least one of the parties has the intent of promoting the growth, development, maturity, improved functioning, improved coping with life of the other. The other, in this sense, may be one

individual or a group. To put it in another way, a helping relationship might be defined as one in which one of the participants intends that there should come about, in one or both parties, more appreciation of, more expression of, more functional use of, the latent inner resources of the individual."

Benjamin (1969) defines "helping" as enabling acts, so that those who are helped recognize, feel, know, decide, and choose whether to change. In providing a helping relationship, interviewers give of their time, their capacity to understand and listen, their skill, knowledge and interest. In short, those who conduct helping relationships, draw upon themselves in ways that facilitate and enable others to live more harmoniously and insightfully.

These and other definitions of a helping relationship are sufficiently broad to include many nurturing and uplifting contacts among people. Presumably, bank clerks and politicians do not use the term to describe their work because their occupations, while providing services of an external nature, do not have the primary purpose of facilitating the individual's personal development. However, relations between teacher and pupil, husband and wife, mother and child, counselor and counselee, psychotherapist and client would normally be called helping relationships.

All too often, "helping relationship" is thought to mean that one person helps another. In most helping situations

this is the case, but the term is also applied to individual-group interactions. Furthermore, some supervisory and administrative relationships are so conducted as to facilitate maximum growth processes which free individual potentialities.

At every stage of life there are sources of help for the individual. Assistance is generally given more freely and systematically to children than to adults, presumably because adults are more nearly in command of their life situations. The home (parent-child relationship) is the principal institution for helping the young child, and the community (through its mental and physical health services) offers assistance and advice to parents.

Some people seem to know almost intuitively where to turn for help. By the time a child reaches grade 3 or 4, he knows that the school is a major source of assistance in addition to the home. Indeed, everyone uses social institutions which have evolved to supplement the family in making life more satisfactory and in making himself a more successful person.

Finally, it should be noted that not all people regard providing help to others as a constructive, positive function. They view the helping relationship with alarm, contending that it weakens character and is a sign of overindulgence and protectiveness. In this view, the individual who struggles unaided with the inexorable imperatives of life is better equipped for the stresses and strains of survival. But it would seem that a great society and a global civilization if they are to endure, call for men to serve the interests of all men.

The foregoing explanation of the nature of a Helping Relationship has been presented by Shertzer and Stone (1974) in their book "Fundamentals of Counseling". The helping relationship is complex and therefore difficult to reduce to its component parts without destroying its meaning. Shertzer and Stone summarise it as follows :

1. The helping relationship is meaningful because it is personal and intimate, relevant, both anxiety-evoking and anxiety-reducing, because it involves mutual self-commitment.
2. Affect is evident in a helping relationship because those in the relationship are self-revealing, self-absorbed and sensitive to each other. Disclosure of frequently unique and always private perceptions, information or attitudes produces tension and ambiguity.
3. Integrity of person is present in the helping relationship. The participants intend to be intellectually and emotionally honest with each other. Respect is accorded each individual because he is a person of worth. There is a restorative quality to the relationship that excludes sham, pretension, and deceit. The participants relate to each other as authentic, reliable individuals.
4. The helping relationship takes place by the mutual consent of the individuals involved. Even in child-parent or teacher-pupil relationships, agreement and/or acquiescence is needed if the relationship is to be helpful. The absence of pressure is the hallmark of this relationship.



5. The relationship takes place because the individual to be helped needs information, instruction, advice, assistance, understanding and/or treatment from the therapist. The one who seeks help does so because he lacks knowledge, feels distressed or ineffective. The one who extends help does so because of greater maturity, competence and/or the trust the other places in him. The helper exhibits enough personal power, charm, skill, authority to induce and sustain trust so that the individual to be helped believes that he will be better than he was before. The confidence reposed in the helper is a crucial characteristic of the relationship.
6. The helping relationship is conducted through communication and interaction. The more lucid and articulate the communication the more meaningful the relationship. The communication and interaction will be both cognitive and affective and will contain both positive and negative experiences.
7. Structure is evident in the helping relationship. Both participants introduce their total life experiences into the relationship. Their attitudes stem from these experiences and determine how they relate to each other.
8. Collaborative effort marks the helping relationship. This intensifies the relationship and validates its effectiveness. The participants work together toward an

acceptable goal. The helping person's task is to function in such a manner that the other can achieve the emotional strength and security to express his viewpoint, problem or situation.

9. The helping person is approachable and secure as a person.
10. Change is the object of the helping relationship. The participants learn from each other and the experience results in change. The individual to be helped becomes more aware of himself, achieves more satisfying ways of behaving and becomes more of a person.

These characteristics are a summary of most of the systems of counselling and psychotherapy. One of the well known proponents of the theory behind the helping relationship which has become the foundation of the client-centered school of counselling is the theory of Carl Rogers. His viewpoint will be presented now, followed by that of Robert Carkhuff, which will further clarify and emphasize certain aspects of the helping relationship.

#### THE THEORY OF CARL ROGERS

The definition of a helping relationship cited earlier, would according to Rogers, (1967) include the relationship between parent and child, physician and patient, teacher and pupil, counsellor and client.

What are the characteristics of those relationships which facilitate growth, which do help and what are the characteristics that make a relationship unhelpful ?

According to Rogers most of the studies throw light on the attitudes on the part of the helping person which make a relationship growth-promoting or growth-inhibiting.

A careful study of parent-child relationships made by Baldwin (1945) et al. at the Fels Institute contains interesting evidence. Of the various of parental attitudes towards children, the "acceptant-democratic" seemed most growth-facilitating. Children of these parents with their warm and equalitarian attitudes showed an accelerated intellectual development, more originality, more emotional security and control, less excitability than children from other types of homes. Where parents' attitudes are classed as "actively rejectant" the children show a slightly decelerated development, relatively poor use of the abilities they do possess and some lack of originality. They are emotionally unstable, rebellious, aggressive, and quarrelsome.

These findings would probably apply to other relationships as well. Whitehorn and Betz (1956) investigated the degree of success achieved by young resident physicians in working with schizophrenic patients on a psychiatric ward. They chose for special study the 7 who had been outstandingly helpful and 7 whose patients had shown the least degree of improvement.

They found several significant differences between the 2 groups, the most notable being the emphasis by the successful physicians on a person-to-person relationship, active personal participation, a relationship that fostered trust and confidence.

Another interesting study focuses upon the way in which the person being helped perceives the relationship. R.W. Heine (1950) studied individuals who had gone for psychotherapeutic help to psychoanalytic, client-centered and Adlerian therapists. Regardless of the type of therapy, these clients report similar changes in themselves. There was a high degree of agreement among themselves as to what they found helpful and unhelpful in the therapists. They appreciated the trust they had felt in the therapist ; being understood by the therapist, the feeling of independence they had in making choices and decisions. What they found unhelpful was therapist lack of interest, remoteness, an over-degree of sympathy.

From the studies it is clear that relationships which are helpful have different characteristics from relationships which are unhelpful. These differential characteristics have to do primarily with the attitudes of the helping person on the one hand and with the perception of the relationship by the helpee on the other.

Here is a guide to the behavior of a helpful person, as conceived by Carl Rogers.

1. Can I be in some way which will be perceived by the other person as trustworthy, dependable or consistent in some deep sense ?
2. Can I be expressive enough as a person that what I am will be communicated unambiguously ?
3. Can I let myself experience positive attitudes toward this other person - attitudes of warmth, caring, liking, interest, respect ?
4. Can I be strong enough as a person to be separate from the other ? Can I be a sturdy respecter of my own feelings, my own needs, as well as his ?
5. Am I secure within myself to permit him his separateness ? Can I permit him to be what he is ?
6. Can I let myself enter fully into the world of his feelings and personal meanings and see these as he does ?
7. Can I receive him as he is ? Can I communicate this attitude ?
8. Can I act with sufficient sensitivity in the relationship that my behavior will not be perceived as a threat?
9. Can I free him from the threat of external evaluation ?
10. Can I meet this other individual as a person who is in the process of becoming or will I be bound by his past and by my past ?

The optimal helping relationship is the kind of relationship created by a person who is psychologically mature. The degree to which I can create relationships which facilitate the growth of others as separate persons is a measure of the growth I have achieved in myself.

In his book "On Becoming a Person" Rogers (1967) gives further insights as to how the helping relationship facilitates personal growth.

" It is as I have come to put the question in this way that I realize that whatever I have learned is applicable to all of my human relationships, not just to working with clients with problems. It is for this reason that I feel that it is possible that the learning which has had meaning for me in my experience may have some meaning for you in your experience, since all of us are involved in human relationships. If I can provide a certain type of relationship, the other person will discover within himself the capacity to use that relationship for growth, and change and personal development will occur.

What is this certain type of relationship I would like to provide? I have found that the more that I can be genuine in the relationships, the more helpful it will be. This means that I need to be aware of my own feelings, in so far as possible, rather than presenting an outward facade of one attitude, while actually holding another attitude at a deeper or unconscious level. Being genuine also involves the willingness

to be and to express, in my words and my behavior, the various feelings and attitudes which exist in me. It is only in this way that the relationship can have reality, and reality seems deeply important as a first condition. It is only by providing the genuine reality which is in me, that the other person can successfully seek for the reality in him. I have found this to be true even when the attitudes I feel are not attitudes with which I am pleased, or attitudes which seem conducive to a good relationship. It seems extremely important to be real.

As a second condition, I find that the more acceptance and liking I feel toward this individual, the more I will be creating a relationship which he can use. By acceptance I mean a warm regard for him as a person of unconditional self-worth - of value no matter what his condition, his behavior, or his feelings. It means a respect and liking for him as a separate person, a willingness for him to possess his own feelings in his own way. It means an acceptance of and regard for his attitudes of the moment, no matter how negative or positive, no matter how much they may contradict other attitudes he has held in the past. This acceptance of each fluctuating aspect of this person makes it for him a relationship of warmth and safety, and the safety of being liked and prized as a person seems a highly important element in a helping relationship.

I also find that the relationship is significant to the extent that I feel a continuing desire to understand - a sensitive empathy with each of the client's feelings and

communications as they seem to him at that moment. Acceptance does not mean much until it involves understanding. It is only as I understand the feelings and thoughts which seem so horrible to you, or so weak, or so sentimental, or so bizarre - it is only in so far as I see them as you see them, and accept them and you, that you feel really free to explore all the hidden nooks and frightening crannies of your inner and often buried experience. This freedom is an important condition of the relationship. There is implied here a freedom to explore oneself at both conscious and unconscious levels, as rapidly as one can dare to embark on this dangerous quest. There is also a complete freedom from any type of moral or diagnostic evaluation, since all such evaluations are, I believe, always threatening.

Thus the relationship which I have found helpful is characterised by a sort of transparency on my part, in which my real feelings are evident ; by an acceptance of this other person as a separate person with value in his own right ; and by a deep empathic understanding which enables me to see his private world through his eyes. When these conditions are achieved, I become a companion to my client, accompanying him in the frightening search for himself, which he now feels free to undertake.

I am by no means always able to achieve this kind of relationship with another, and sometimes, even when I feel I have achieved it in myself, he may be too frightened to perceive what is being offered to him. But I would say that when I hold in myself the kind of attitudes I have described, and when the



other person can to some degree experience these attitudes, then I believe that change and constructive personal development will invariably occur."

" The second phrase in my overall hypothesis was that the individual will discover within himself the capacity to use this relationship for growth. Gradually my experience has forced me to conclude that the individual has within himself the capacity and tendency, latent if not evident, to move forward toward maturity. In a suitable psychological climate this tendency is released, and becomes actual rather than potential. It is evident in the capacity of the individual to understand those aspects of his life and of himself which are causing him pain and dissatisfaction, an understanding which probes beneath his conscious knowledge of himself into those experiences which he has hidden from himself because of their threatening nature. It shows itself in the tendency to reorganize his personality and his relationship to life, in ways which are regarded as more mature. Whether one calls it a growth tendency, a drive toward self-actualization, or a forward-moving directional tendency, it is the mainspring of life, and is, in the last analysis, the tendency upon which all psychotherapy depends. It is the urge which is evident in all organic and human life - to expand, extend, become autonomous, develop, mature - the tendency to express and activate all the capacities of the organism to the extent that such activation enhances the organism or the self. This tendency may become deeply buried under layer after layer of

encrusted psychological defenses ; it may be hidden behind elaborate facades which deny its existence ; but it is my belief that it exists in every individual, and awaits only the proper conditions to be released and expressed.

It is my hypothesis that in such a relationship the individual will reorganize himself at both the conscious and deeper levels of his personality in such a manner as to cope with life more constructively, more intelligently, and in a more socialized as well as a more satisfying way. In such a relationship the individual becomes more integrated, more effective. He changes his perception of himself, becoming more realistic in his views of self. He becomes more like the person he wishes to be. He values himself more highly. He is more self-confident, and self-directing. He has a better understanding of himself, becomes more open to his experience, denies or represses less of his experience. He becomes more accepting in his attitudes toward others, seeing others as more similar to himself. In his behavior he shows similar changes. He is less frustrated by stress, and recovers from stress more quickly. He becomes more mature in his everyday behavior as this is observed by friends. He is less defensive, more adaptive, more able to meet situations creatively.

The excitement comes from the fact that these findings justify an even broader hypothesis regarding all human relationships. There seems every reason to suppose that the therapeutic relationship is only one instance of interpersonal relations,

and that the same lawfulness governs all such relationships. Thus it seems reasonable to hypothesize that if the parent creates with his child a psychological climate such as we have described, then the child will become more self-directing, socialized and mature. To the extent that the teacher creates such a relationship with his class, the student will become a self-initiated learner, more original, more self-disciplined, less anxious and other-directed. It appears possible to me that we are seeing the emergence of a new field of human relationships, in which we may specify that if certain attitudinal conditions exist, then certain definable changes will occur."

Rogers has based his law of interpersonal relations on the construct of "congruence". Congruence is the term used to indicate an accurate matching of experiencing and awareness. It may still be further extended to cover a matching of experience, awareness and communication. Perhaps the simplest example is an infant. If he is experiencing hunger at the physiological and visceral level, then his awareness appears to match this experience, and his communication is also congruent with his experience.

Assuming (a) minimal willingness on the part of two people to be in contact ; (b) an ability and minimal willingness on the part of each to receive communication from the other and (c) assuming the contact to continue over a period of time ; then the following relationship is hypothesized to hold true.

The greater the congruence of experience, awareness and communication on the part of one individual, the more the ensuing relationship will involve : a tendency toward reciprocal communication with a quality of increasing congruence ; a tendency toward more mutually accurate understanding of the communications ; improved psychological adjustment and functioning in both parties ; mutual satisfaction in the relationship.

Conversely the greater the communicated incongruence of experience and awareness the more the ensuing relationship will involve : further communication with the same quality ; disintegration of accurate understanding, less adequate psychological adjustment and functioning in both parties ; and mutual dissatisfaction in the relationship.

In the actual relationship both the client and the therapist are frequently faced with the existential choice, "Do I dare to communicate the full degree of congruence which I feel ? Do I dare match my experience, and my awareness of that experience, with my communication ? Do I dare to communicate myself as I am or must my communication be somewhat less than or different from this ? The sharpness of this issue lies in the often vividly foreseen possibility of threat or rejection. To communicate one's full awareness of the relevant experience is a risk in interpersonal relationships. It seems to me that it is the taking or not taking of this risk which determines whether a given relationship becomes more and more mutually therapeutic or whether it leads in a disintegrative direction.

Good communication, free communication, within or between men, is always therapeutic. The major barrier to mutual interpersonal communication is our natural tendency to judge, to evaluate, to approve or disapprove, the statement of the other person, or the other group. Real communication occurs, and this evaluation tendency is avoided, when we listen with understanding. What does this mean? It means to see the expressed idea and attitude from the other person's point of view, to sense how it feels to him, to achieve his frame of reference in regard to the thing he is talking about.

#### THE THEORY OF ROBERT CARKHUFF

Dr. J.M. Fuster (1974) in his book, "Helping in Personal Growth" has summarised Carkhuff's Model of Counselling. He has used the model extensively in India and his present interest is in seeing whether the model, whose basis is interpersonal functioning of the individual, can be applied to Indian people, or whether there is a cultural bias in it. Before going on to a detailed study of Carkhuff's theory, it would be useful to get an overall picture of it, as Dr. Fuster has stated it.

According to the research findings of the different schools of therapy, it appears that people fall into two polarities : while relating to others, some people stimulate growth in them, and others inhibit it. The big question before us then is : What makes the difference? The answer to this question is found in the first dimension of Carkhuff's Model.

It is a three dimensional model involving the counsellor, the client, and the contextual variables.

The first and most important dimension is the level of functioning of the counsellor as a person. This dimension includes two concepts : (a) functioning and (b) level of functioning.

- (a) Functioning : The nature of functioning is defined by Carkhuff in terms of nine traits or variables. The name and description of each variable are given below :

Empathy is the ability to accurately perceive what another person is experiencing and communicate that perception. At high levels of empathy, an individual adds noticeably or significantly to the communication, while at low levels, the individual detracts noticeably or significantly from the communication.

Respect implies that the counsellor appreciates the dignity and worth of the client. It also implies that the counsellor accepts the fact that each client has a right to choose, possesses free will, and may make his own decisions. Respect also indicates that each client has the inherent strength and capacity for making it in life. At low levels, a counsellor functioning without respect may over protect, be condescending, or even hold another in low esteem or negative regard. He may make decisions, give advice, be falsely reassuring or be hostile.

Genuineness is the ability of the counsellor to be freely and deeply himself. It is non-phoniness, non-role playing, non-defensiveness. The genuine counsellor is congruent ; there is no discrepancy between what he is saying and what he is experiencing. At low levels of genuineness the counsellor may say one thing and communicate another non-verbally. He may be stiffly "professional" or be playing a role (rather than fulfilling a role). He may seem very different in the counselling room from what he is normally. People who function low in genuineness hide behind a facade.

Concreteness implies specificity or expression concerning the client's feelings and experiences. The concrete counsellor keeps communications specific and gets to the what, why, when, where and how of something. Notions, thoughts, experiences are explored in depth. The concrete counsellor maintains relevancy in the communication and prevents the client from avoiding or escaping from the issue at hand. A low functioning counsellor who is not concrete is abstract or general. He is very permissive and allows the client to explore irrelevancies, to go off on tangents, and to maintain himself at an abstract level.

Confrontation occurs when there is a discrepancy between what the client is saying and what he is experiencing, or between what he is saying at one point and what he has said before, or between what he is saying and what his actions imply. This variable is totally under the control of the counsellor and is initiated when the counsellor feels it is appropriate.

There are different kinds of confrontations possible in a counselling situation.

Potency (Wolf 1970) is a charisma ; it is the dynamic force and magnetic quality of the counsellor. The potent counsellor is one who has a force of presence. He is obviously in command of himself and communicates to the client his sense of competence and security. The counsellor who scores low in potency is flat, a non-entity. He has little dynamism, little inner power. Such a person cannot evoke feelings of security ; rather the client feels uneasy in his presence and would be reluctant to trust him.

Self-disclosure is the revealing of personal feelings, attitudes, opinions and experiences on the part of the counsellor for the benefit of the client. The counsellor, during self-disclosure, exposes himself and shares with the client some meaningful self-disclosing statements which may be pertinent to the issues. At low levels, the counsellor never reveals himself, and maintains a screen of neutrality. Self-disclosure must be used with discretion and an accurate sense of timing and appropriateness. In all cases, self-disclosing statements should occur for the client's sake and not for the counsellor's own benefit.

Immediacy (Collingwood and Renz 1969) is dealing with the feelings between the client and the counsellor in the here and now. A high level of immediacy exists in the open discussion and analysis of interpersonal relationships occurring between the client and the counsellor, within the counselling situation.



This is a very important variable because it provides the opportunity to work out problems and difficulties in an ongoing relationship so that the client profits from the experience. The client can learn to restructure his interpersonal relationships by finding that it is possible to confront, to reveal oneself, and to express negative or positive emotions to another human being quite safely. Thus, the counsellor who is immediate feels comfortable engaging in explorations of the present relationship existing between the client and himself.

Self-actualization : Studies have indicated that self-actualization is highly correlated with success in counselling (Foulds, 1969). That is, counsellors who are themselves self-actualized serve as models of effective people who can live life fully and successfully. Self-actualization implies that one can live and meet life directly. Though self-actualized counsellors feel stress and tension, they are not incapacitated by these negative forces. Self-actualized counsellors can live in the present and are primarily inner-directed. They are able to express themselves freely and openly. They are non-judgmental. Self-actualized counsellors have the capacity for warm, intimate contact and, in general, are extremely effective at living.

(B) Level of functioning : A counsellor may possess these nine variables in a very low degree, another in an average degree, and a third in a high degree. To ascertain these levels, a five-point scale has been devised. Here is the scale :

1	2	3	4	5
1.5	2.5	3.5	4.5	
/ ----- /			/ ----- /	
Harmful communication			Helpful communication	

Let us examine the scale. You can see that it is a five point scale. Let us start with the middle of it. Anything below level 3 represents harmful communication. Level 3 and above represents helpful communication. The most destructive response would be rated level 1. You can see that the degrees of harmfulness range from level 1 to 2.5. Level 3 represents a minimally helpful communication with level 5 representing the most helpful response.

The term level here refers to the poor or good or excellent understanding of the feelings and meaning in interpersonal relations together with the other variables as shown above.

At level 1 the counsellor's responses detract significantly from the expressions of the client, in that they communicate significantly less of the client's feelings than he has himself communicated.

At level 2 the counsellor's responses subtract noticeably from the feelings and meaning communicated by the client.

- At level 3      the verbal or behavioral expressions of the counsellor are essentially interchangeable with those of the client, in that they express essentially the same affect and meaning as those expressed by him.
- At level 4      the counsellor's responses add noticeably to the client's expressions in such a way as to express feelings a level deeper than the client was able to express himself.
- At level 5      the counsellor's responses and significantly to the feelings and meaning expressed by the client in such a way as to express accurately feelings, levels below what the client himself was able to express, or to be fully with him in his deepest moments of an ongoing deep self-exploration.

Harmful communication : The terms "harmful" and "helpful" communication have a technical meaning here which is different from the meaning these words have in ordinary conversation. Thus for example, you give advice to a young man, he receives it from you, behaves according to it, is greatly helped and is very grateful to you. You were certainly helpful to him. Yet, in the counselling situation, to give advice before you have communicated empathy is considered harmful communication. How are you, then, to understand this difference ?

The term "helpful" in the technical sense means that the communication stimulates growth in the other. That is, it helps the other to detect new aspects of himself and new possibilities, and stimulates him to use his own resources.

The term "harmful" communication does not mean that the client will get sick physically or mentally ; it rather means that the type of relationship the counsellor is establishing with the client induces him to exploit only a fraction of his resources and to give up actualising further his potential. In this sense, that communication is harmful.

Human functioning in terms of the nine variables and on level 3 and above is called helpful or growth stimulating. The reasons why these variables promote growth in the client will be discussed later.

The first dimension of Carkhuff's Model, that is, the level of functioning of the counsellor as a person is measured in terms of the nine variables and of the five levels as explained, above.

What makes the difference between successful and unsuccessful therapists ? The difference is that the helpful person functions at level 3 or above as a person in all the nine variables, and the unhelpful person functions at a 'harmful' level.

The helpful person is one who understands in depth the feelings of the other and what exactly he means.

He respects the person of the other and his right to freedom of choice. He recognizes the strengths in the other and his ability to solve his problem when placed in favourable conditions. The helpful person does not put on any mask or professionalism. He is always himself in the relationship with the other. He does not respond with anger to the provoking language of the other. Rather, he uses that provocation as a basis for further inquiry into the relationship with the other. In his relation with the other, the helpful person is in touch with reality and helps the other to express himself in concrete and clear terms. When he feels that he can help the other by disclosing some aspects of himself, he will reveal himself to the other. But this self-revelation will not be prompted by any need for satisfaction, but only for the good of the other. If the other's defenses prevent him from coming in direct contact with himself and other persons, the helpful person will not hesitate to confront him with his discrepancies, even though he foresees that a crisis will be precipitated. Sometimes the other wants to communicate something which refers to his relationship with the helpful person, but does not dare to, and tries distorted ways of communication which keep him from facing the real issue. Then the helpful person will interpret directly to the other what the other is trying to say indirectly. The helpful person is fully alive, enjoys living, finds life challenging, has the ability to tolerate stress, is hopeful and makes an impact for good on the other person.

The second dimension is the level of functioning of the client. This is assessed in the same way as the level of functioning of the counsellor. But over and above this, the level of functioning of the client is also conveniently measured in terms of the degree in which he explores himself.

The third dimension is the contextual variables. Examples of these variables are the duration of the treatment, the number of possible preferred modes of treatment, facilities in implementing courses of action, etc. The contextual variables facilitate or retard the effect of the interaction between client and counsellor.

Carkhuff says that the three principal sources of movement to higher levels are :

- 1) the role-model which the higher-level person presents for more effective functioning ;
- 2) the lower-level person's experience of the facilitative conditions ; and
- 3) some direct teaching or shaping of behaviour involving the conditions of effective living.

#### The Dimensions of Human Nourishment

There is an extensive body of evidence suggesting that all human interactions between persons designated by society as "more knowing" and "less knowing" may have facilitative or retarding effects upon the "less knowing." Thus, in

significant counselling and psychotherapy, teacher-student, or parent-child relationships, the consequences may be constructive or deteriorative on intellectual as well as psychological indexes. In addition, there is extensive evidence to indicate, that, to a large degree, the facilitative or retarding effects can be accounted for by a core of dimensions which are shared by all interactive human processes, independent of theoretical orientation ; that is, patients, clients, students, and children of persons functioning at high levels of these dimensions improve on a variety of improvement criteria, while those of persons offering low levels of these dimensions deteriorate on indexes of change or gain. (Aspy, 1966 ; Carkhuff and Truax 1966 ; Truax and Carkhuff, 1964, 1966).

Those core dimensions which receive the most imposing support are those involving the levels of empathic understanding, positive regard, genuineness, and concreteness or specificity of expression, offered by those persons designated as "more knowing". In turn, these dimensions are related to the degree to which the "less knowing" person can explore and experience himself in the relationship, a dimension which also is shared by all interactive processes between "less knowing" and "more knowing" persons. Additional dimensions, such as those involving the levels of appropriate self-disclosure, spontaneity, confidence, intensity, openness, flexibility, and commitment of the "more knowing" persons have been posited. (Carkhuff 1967 a).

The core dimensions related to constructive change or gain may be operationally defined. On five-point scales developed to assess the facilitative dimensions related to improved functioning in all interpersonal processes (Carkhuff 1967 a) the following operational definitions emerge :

On all scales, level 3 is defined as the minimally facilitative level of interpersonal functioning. At level 3 of empathic understanding scale, the verbal or behavioral expressions of the first person (the counsellor or therapist, teacher or parent) in response to the verbal or behavioral expressions of the second person (the client, student, or child), are essentially interchangeable with those of the second person in that they express essentially the same affect and meaning. Below level 3 the responses of the counselor detract from those of the client. Thus at level 1, the lowest level of interpersonal functioning, the first person's responses either do not attend to or detract significantly from the expressions of the second person in that they communicate significantly less of the second person's feelings than the second person has communicated himself. Above level 3 the first person's responses are additive in nature, that is, they add noticeably to the expressions of the second person in such a way as to express feelings a level deeper than the second person was able to express himself and sometimes, in the event of ongoing self-exploration on the second person's part, to be fully with him in his deepest moments.



Respect or positive regard in interpersonal processes is defined at minimally facilitative levels by the first person's communication of a positive respect and concern for the second person's feelings, experiences and potentials. Levels below 3 are characterized by a lack of respect or negative regard, and levels above 3 are characterized by the communication of deepening levels of respect.

Facilitative genuineness is defined at minimally facilitative levels by the first person's providing no discrepancies between what he verbalizes and what other cues indicate he is feeling, while also providing no positive cues to indicate really genuine responses to the second person. Below level 3, there are cues indicating discrepancies in the first person's expressions and cues for ingenuine responses, and above level 3, there are indications of deepening genuine responses.

Personally relevant concreteness or specificity of expression in interpersonal processes, is defined at minimally facilitative levels by the first person's enabling the second person to discuss personally relevant material in specific and concrete terminology. Below level 3, varying degrees of vagueness and abstractness dominate the conversations. Above level 3 specificity and concreteness dominate the problem-solving activities.

Depending upon the levels of the facilitative dimensions offered by the "more knowing" person, the "less knowing" person

might engage in a variety of activities. Perhaps the most significant of these activities involves the second person's ability to be openly and deeply himself in his relationship with the first person. Thus, the second person may feel free to explore experience and experiment with himself in a facilitative relationship, or he may restrict his activities in a relationship offering low levels of conditions. Again, the client's ability to explore himself has been related to constructive change or gain.

There is evidence to suggest that the model involving the central core of facilitative conditions has implications for all interpersonal processes, including in particular, teacher-student and parent-child relationships (Carkhuff and Truax 1966). "Children and students of parents, teachers, and other significant persons who offer high levels of facilitative conditions improve (on a variety of indexes), while those of persons who offer low levels of these conditions deteriorate." (Carkhuff 1967). We might add that the changes are not reflected on psychological indexes alone but on intellectual indexes, such as achievement as well (Aspy 1967).

Nevertheless, our model dictates that a primary core condition such as empathic understanding is critical to all learning and relearning processes. In addition, secondary conditions, peculiar to a particular interaction of first person (therapists, counselors, teachers, and parents), second person (clients, students, and children), and situational variables

(environmental settings, atmosphere and so forth) may operate to facilitate or retard the outcomes of the primary process variables.

The individual's problem evolved in some way in the absence of conditions, or in the context of very low levels of facilitative conditions offered by the significant persons in his environment. Thus, for example, the absence of any real comprehensive understanding, respect, or positive regard, genuineness, and concreteness from the "more knowing" persons in the developing child's environment may have led to this present difficulty, and movement toward amelioration of these difficulties ensues when high levels of these conditions are put into effect.

The generalization to other instances of interpersonal processes has much meaning for our understanding of facilitative conditions. If the parent-child and student-teacher relationships can be, as counseling and psychotherapy "for better or for worse," and if the differential levels of the central core of facilitative conditions account for most of the efficacy or inefficacy of these processes, then we are talking not so much about the conditions of counseling and psychotherapy as about the conditions of effective and ineffective living. It is likely that it is because more human processes of communication have broken down, both within ourselves as counselors as well as within the client, or better between counselor and client, that we turn to the employment of techniques to build it up again.

### The Primary Core Dimensions

While techniques may be learned and employed to communicate the primary core of facilitative dimensions, the dimensions themselves are integrated parts of the human personality. Although we attend to the dimensions as individual and distinctive units, the dimensions converge at high levels in the healthy personality and at low levels in the unhealthy person. In more moderate ranges, the individuals may function at relatively high levels on some dimensions and low levels on others.

In general, we might hypothesize that the levels at which an individual functions with others reflect the levels of his attitudes and comprehension of himself ; that is, the individual is as empathic, respectful, and genuine concerning a wide range of feelings and experiences in others as he is concerning a wide range of feelings in himself. The individual's understanding and attitudes toward himself underscore the need for therapeutic process involvement of those not functioning at self-sustaining levels of minimally facilitative conditions.

### A Multidimensional Model

A comprehensive model of facilitative processes must take into consideration - first person variables (parents, teachers, counselors, and therapists), second person variables (children, students, and clients), and contextual variables, alone and in their various interactions.

Thus, those facilitators offering the highest levels of facilitative conditions tend to involve the persons to whom they are relating in a process leading to constructive behaviour change or gain, both affective and cognitive, or intellectual. At the highest levels, these facilitators communicate an accurately empathic understanding of the deeper as well as the superficial feelings of the second person ; they are freely and deeply themselves in a nonexploitative relationship ; they communicate a very deep respect for the second person's worth as a person and his rights as a free individual ; and they are helpful in guiding the discussion to personally relevant feelings and experiences in specific and concrete terms. These facilitators are ideally our parents, teachers and counselors. We say "ideally" because many parents, teachers, and counselors offer very low levels of these conditions ; others offer only some of these conditions at relatively high levels and other conditions at relatively low levels.

On all of the scales, level 3 constitutes the minimal level of facilitative functioning. Thus, level 1 describes not only the retarding therapist, but also the severely disturbed client who is essentially immune to constructive human encounters. Level 2 describes the more moderately retarding therapist or distressed client who, unlike the level 1 person, lives in a world of distortion but does live in the world and is not oblivious to his world ; level 3 describes the minimally facilitative therapist or the situationally distressed client who, for all other purposes, is functioning at a minimally effective level.

Level 4 may characterize the more potent individual who relates effectively and "makes things happen", whatever his area of endeavor, but including in particular the facilitation of other persons. The level 5 person in turn, is involved in a lifelong search for actualization for others as well as himself, and is readily amenable to the sharing of his search with others. In summary, then, whether he is client or therapist, student or teacher, child or parent, these scales may be employed to assess the person's level of interpersonal functioning.

At each point of significant interactions in the individual's development, the consequences may be "for better or for worse" ; that is, if we assume that the individual has the inherent capacity to be influenced in constructive or destructive directions, then each encounter with those significant persons designated by society as "more knowing" may have constructive or deteriorative consequences for the "less knowing" person. The assumption that the individual does not begin with a disposition toward either constructive growth or destructiveness is illustrated by a third-dimensional point of origin in the child's development. Only as the child grows outward does he move in a positive or negative direction. Thus, the dominance of high or low levels of facilitative dimensions in relationships with parents, teachers, and other significant figures will, in all likelihood, contribute to effective functioning or dysfunctioning in the individual. A clear implication of the model is that individuals are growing constructively when they move toward

higher levels of functioning on empathy, regard, genuineness, and concreteness, and are deteriorating when they move in the direction of lower levels of functioning on these dimensions.

### Growth and Deterioration in Functioning

A number of propositions flow from the basic findings that (a) all interpersonal learning or relearning processes may be for better or for worse and (b) constructive or destructive results can be accounted for by the level of facilitative and action-oriented dimensions offered by the more knowing person, for example, the parent, the teacher or the counselor. Together these propositions constitute the beginnings of a model for understanding the development of human functioning and dysfunctioning.

Growth or deterioration is measured on physical, emotional and intellectual indexes. It is reflected in the actualization of the individual's physical, emotional and intellectual resources. The actualization of resources is dependent upon the developmental stage of an individual. Growth is reflected in the individual's increasing ability (1) to understand his physical, emotional, and intellectual worlds and (2) to act upon these worlds both internally, or within himself, and externally, or in his environment. Deterioration or retradition of resources is dependent upon the individual's stage of development and is reflected in the individual's decreasing ability (1) to understand his physical, emotional and intellectual worlds and (2) to act upon these worlds.

The growth or deterioration of the less knowing as well as the more knowing person is contingent upon first person (parents, teachers, counselors), second person (children, students, clients), and contextual (primarily the conditions of the setting) and environmental variables (in large part the conditions offered by others in the individual's environment), alone and in their various interactions. It is sometimes difficult in the face of the extensive attention given to physical and socioeconomic factors to remember that the environment is people, that is, the significant others who relate to the first and second persons in the relationships and to whom these persons return following all of their important interactions. The significant others who can facilitate or retard gains or losses can, in turn, be facilitated or retarded by the first and second persons.

As an individual deteriorates his discriminations become increasingly faulty and the less able he is to act upon them. To an increasing extent he allows destructive persons to enter his world and influence his life. As an individual grows his discriminations become more accurate and the more able he is to act upon them. He increasingly allows only constructive persons to enter his world and influence his life. Physical growth or deterioration has a facilitative or retarding effect upon growth in the emotional and intellectual spheres. The same is true of the emotional and intellectual spheres. An increased level of functioning in, for example, the educational-vocational sphere will influence the individual to function at



higher levels in the sexual-marital, child-rearing, and social-interpersonal areas ; similarly a deterioration in the sexual-marital area may influence the individual to function at lower levels in the other spheres.

We know that one individual can make a contribution in the lives of others if he himself is growing toward wholeness and if he is not only willing but committed to employing all of the means available to him in the helping process. In a real sense, then, the helping process is a process of rehabilitation as well as a process of personal emergence and/re-emergence. It is a process in which each barrier looms higher than the last but one in which the rewarding experiences of surmounting previous hurdles increases the probability of future successes. If the helper is not committed to his own physical, emotional, and intellectual development, he cannot enable another to find fulfilment in any or all of these realms of functioning.

#### The Helper's Contribution to Helping Processes

The more receptive and responsive helper offerings of warmth and understanding must be complemented by more active, assertive offerings involving direction, confrontation, and more action-oriented dimensions. This characteristic of the helping process has not been made explicit in past formulations.

If we equate the sensitive and responsive components with the feminine dimension, the facilitative conditions may be viewed as the essential offerings of a healthy female or mother.

If we equate the active and assertive components with the masculine dimension, the action-oriented dimensions may be seen as the essential offering of the healthy male or father. In effective helping processes both the male and female components are present to varying degrees, depending upon the needs of the person being helped. The effective helper is both mother and father. The whole person has incorporated both the responsive and assertive components. He (or she) can understand his internal and external physical, emotional and intellectual world with sensitivity and can act upon these worlds with responsibility.

#### RESPONSIVENESS AND INITIATIVE

Effective helping processes, may be broken down broadly into the components of understanding and action. We may view the facilitative dimensions as those offered in response to the expressions of the person being helped while the action-oriented dimensions are initiated by the helper. In regard to both, a more responsive understanding and an active confrontation of life, the helpee may benefit from each or all the following sources when present at high levels : (1) in the physical world in particular, modeling or imitative processes will serve to increase the helpee's behavioral response repertoire ; (2) in the emotional world the helpee's experiential base of both understanding and action will free him to further experience and experiment with himself ; (3) in the intellectual world direct teaching or shaping may enable the trainee to develop a functional and fulfilling cosmology of life.

The degree that the helping person is himself open to a wide range of experiences in himself, to that degree, can he be open to a wide range of experiences in another person, and in turn, enable the other person to become open to a wide range of experiences in himself. The degree to which the helper understands and accepts himself is related to the degree to which he understands and accepts others. The sources of learning are modeling the experiential base of understanding and action, and direct teaching. All of these sources must be integrated in a whole process conducted by a whole person. Only when the helper is sensitively responsive to, and acceptant and respectful to, the feelings and experiences that dominate the helpee's world may he involve the helpee in a process leading to a sensitive responsiveness to his world.

The degree to which the helping person initiates action-oriented dimensions in a helping relationship is directly related to the degree to which the person seeking help engages in processes that lead to constructive change or gain. The helpee must learn not only to make fine and sensitive discriminations in his internal and external world but also to act upon these discriminations. Hopefully, the action will be accomplished in the context of high levels of facilitative conditions involving sensitive understanding. Frequently, however, it is necessary for the person to act in the absence of understanding - often sensitive understanding can only follow action. The following conditions represent the highest level of translation of understanding to action-orientation within the helping process.

Thus, the helper must be equipped with the potential for directive action as well as nondirective understanding.

If we are ever to account for a significant degree of effective helping processes, then we must expand our existing models to incorporate the helper-initiated or traditional masculine dimensions as well as the helper-responsive or traditionally feminine dimension. Some dimensions, such as concreteness and genuineness, are not exclusively one or the other. Depending upon the background and experience of the helpee, it may be most effective at one point in time to be responsive or motherlike and at a point to be assertive or fatherlike or viceversa.

The facilitative and action-oriented dimensions serve complementary functions in the process leading to constructive helpee change or gain. The offering of a high level of facilitative and action-oriented dimensions by the helper leads directly to a process in which the helpee explores and experiences himself at deeper and deeper levels. In turn, the helper's increasingly higher levels of understanding enables the helpee to understand himself, first at minimally effective levels and later at higher or deeper levels. Following this phase the helpee is directly encouraged through all sources of learning to act upon his increasingly fine discriminations and his growing understanding. Finally, the helpee engages in that action, goal, or conflict resolution which we label the outcome criterion, a single index or multiple indexes of constructive helpee change or gain.

When appropriate, the process may initially emphasize action or behavior change and then concentrate on the understanding of the resultant feedback from the action or the change.

What the Helpee brings with him :

The characteristics the helpee brings with him to the helping process may be further subdivided into (1) the demographic characteristics of helpee populations and (2) levels of functioning of helpee populations, including traditional diagnostic categories. Other personality and motivational characteristics, including the helpee's mental set and expectations may fall into a category incorporating both what the helpee brings with him and what he does within the helping process.

The Context of Helping :

Contextual variables refer to immediate or proximal setting variables, or variables that represent critical aspects of the context within which the helping process takes place. Environmental variables refer to the setting or settings from which the helpee comes and to which he returns after each helping session and after termination of the helping process. Although there may be vast differences between the context in which the helping process takes place and the individual's environment, the same physical and socio-psychological dimensions operate within both the helping context and the environment to which the helpee returns.

Both contextual and environmental variables, then, may be further subdivided into two predominant categories : (1) those involving physical dimensions and (2) those involving personal or people-oriented dimensions. In all instances the critical question is : Do the dimensions involved, whether physical or personal, facilitate or retard the constructive affects of the helping process ? Are the physical and personal characteristics of both the immediate setting and the environment helpful or harmful ?

#### ASSESSING COMMUNICATION

The extensive evidence relating the level of helper-communicated conditions to indexes of constructive helpee change or gain (Carkhuff & Berenson, 1967) provides a base upon which to build valid selections indexes. In so far as communication is a central ingredient in all human relations, selection indexes are needed that are applicable to communication. To this end the principle of selection is relevant : the best index of successful training or treatment is a previous index of a critical aspect of that training or treatment. Both the criteria for assessing communication and the selection indexes have been developed on this basis. Those who communicate at high levels are best equipped to help persons in need. With the proper training such individuals can learn to communicate even more effectively.

In an effort to standardize procedures various helpee "stimulus expressions" have been developed to assess levels of communication. The best index of communicative functioning is an assessment of the level of responses to standardized and representative helpee stimulus expressions. Brief helpee stimulus expressions have been developed to sample responses that cover a wide range of problem areas. The prospective helper is simply asked to respond in the manner he considers most appropriate and helpful. The helpee stimulus expressions may be administered by means of audio tape, the usual method, or in written form.

The standard communication assessment procedure is designed to assess the level of communication in prospective helpers. The design of the helpee stimulus expressions is calculated to cross different helpee expressions of feeling with different helpee problem areas. Thus, the affective expressions of the different feelings of (1) depression-distress, (2) anger-hostility, and (3) elation-excitement cut across the different problems expressed by the helpee : (1) social-interpersonal, (2) educational-vocational, (3) child-rearing, (4) sexual-marital, (5) confrontation of helper. In addition, there is a silence to which the prospective helpers are requested to respond.

Factor analyses of the communication responses indicate a principle factor accounting for approximately two thirds of the variability in the indexes. Since all variables load

significantly on the factor, the direct suggestion is that all of the tests are essentially measuring the same variable 16 times. This is true independent of both affect and content and independent of experience level. This is not true independent of level of functioning. Multivariate analyses of high, moderate and low functioning groups indicate significant differences not only in group means but also in group dispersions. However, again the essential finding is that within any level of functioning the differences are so slight between affects and problem areas that they are not meaningful.

Findings of a program to train parents to communicate effectively with each other in order to work effectively with their children (Carkhuff & Bierman, 1969) are interesting. In a program that emphasized practice in communication, and discrimination only insofar as it followed communication, the discrimination and communication indexes were administered before and after training. In addition, the parents were also cast in the helping role with each other and with their children in order to assess the effects of training. The results indicated that the communication index is the best predictor of both degree of change and absolute level of functioning following training. Those parents functioning at the higher levels within a restrictive range (below level 2) made the greatest gains and functioned at the highest final levels following training with a high-level trainer.



Devoid of either training or treatment orientation, Greenberg (1968) in a counterbalanced design established the close relation among the following three conditions : (1) responding in a written form to helpee stimulus expressions ; (2) responding verbally to helpee stimulus expressions ; (3) responding in the helping role. This research established that both written and verbal responses to helpee stimulus expressions are valid indexes of assessments of the counselor in the actual helping role. Antonuzzo and Kratochvil (1968) in turn established a close relation between (1) the verbal or recorded presentation of the helpee stimulus expressions and the written responses of subjects and (2) the written presentation of the helpee stimulus expressions and the written responses of subjects. In each of these projects however, certain discrepancies between functioning of the high and low-level communicators were evident.

A related topic is that of item analysis of the standard communication index, both internal (the relation of each item to the over-all score of level of functioning for all items) and external (the relation of each item to the assessed level of functioning on the final outcome criteria). While there was variability within and between studies, the items relating most highly to the over-all ratings as well as to final outcome criteria are the confrontations of the counselor in different affects. Thus, we obtain an index not only of the over-all level of functioning with these items but also of how the prospective helper responds to the most difficult situations, the crises

for which he is least prepared and has the fewest responses available. These findings have implications for the administration of an abbreviated version of the helpee stimulus expressions.

GROSS RATINGS OF FACILITATIVE INTERPERSONAL FUNCTIONING

1.0	1.5	2.0	2.5	3.0	3.5	4.0	4.5	5.0
None of these conditions are communicated to any noticeable degree in the person.		Some of the conditions are communicated and some are not.		All of the conditions are communicated at a minimally facilitative level.		All of the conditions are communicated and some are communicated fully.		All of the conditions are fully communicated simultaneously and continually.

The facilitator is a person who is living effectively himself and who discloses himself in a genuine and constructive fashion in response to others. He communicates an accurate empathic understanding and a respect for all of the feelings of other persons and guides discussions with those persons into specific feelings and experiences. He communicates confidence in what he is doing and is spontaneous and intense. In addition while he is open and flexible in his relations with others, in his commitment to the welfare of the other person he is quite capable of active assertive, and even confronting behavior when it is appropriate.

### Facilitation and Retardation in Helping Processes

Helping processes and their training programs are all instances of interpersonal learning or relearning processes. The direct implication of this assumption of Carkhuff's theory is that the same dimensions that are effective in other instances of human relations are effective in helping processes. Thus, while secondary dimensions may vary in parent-child, teacher-student, counselor-counselee, and therapist-patient relationships, the primary interpersonal dimensions remain the same.

Two or more persons encounter each other in relation to the accomplishment of definable tasks or goals. One person is designated the "more knowing" person, the other "the less knowing." One is helper and one is helpee. Hopefully one is committed to enabling the other to achieve a given level of functioning in areas in which the former has expertise. Hopefully, being so committed, the helper will employ all of the means available to him to enable the helpee to achieve an adequate level of functioning in an area of benefit to the helpee.

All interpersonal processes may have constructive or destructive consequences. If we can effect positive change or gain in persons, we can also bring about negative change. The deteriorated schizophrenic may be seen most fruitfully as a product of a succession of retarding relationships just as the psychologically healthy person may be seen as the end result of

a number of facilitative relationships. As a result of some helping processes the helpee may go on to flourish as he has never flourished before. As a result of others the helpee may be retarded in his growth or, worse yet, may deteriorate.

A growing body of literature indicates that parent-child and teacher-student relationships may have facilitative or retarding consequences. In regard to the parent-child relationship there is evidence to indicate the negative effects of early retarding parental relationships in terms of the child's social maladjustment (Cass, 1953) (Montalto, 1952), the manifestation of hostility (Chorost, 1962), and the emergence of schizophrenia (Bateson, Jackson, Haley, & Weakland, 1956 ; Baxter, Becker, and Hooks, 1963 ; Bowen, 1960). In the teaching area there is evidence to indicate the facilitative and retarding effects upon the child's social adjustment (Truax & Tatum, 1966) and learning achievement (Carkhuff & Berenson 1967 ; Aspy, 1969 ; Kratochvil, Carkhuff & Berenson, 1969). Thus, there is substantial support for the proposition that all interpersonal processes may be for better or for worse.

All effective interpersonal processes share a common core of conditions conducive to facilitate human experiences. For example, the conditions that are facilitative in the parent-child relationship are facilitative in other relationships and viceversa. Thus, if the helper functions at a high level, the helpee will demonstrate constructive change ; if the helper functions at a low level, the helpee will demonstrate deteriorative change.

Children and students of parents, teachers and other significant persons who offer high levels of core, facilitative, and action-oriented conditions improve while those of persons who offer low levels of these conditions are retarded in their development. An extensive body of evidence supports the view that the core, facilitative, and action-oriented dimensions are related to learning in teaching and child-rearing situations. Again there is evidence to indicate that the benefits accrued from relationships involving high-level conditions are not restricted to social adjustment gains but are also evident on more traditional educational indexes.

The effective teacher or parent is not simply a knowledgeable person who imparts his accumulated wisdom to a learner without taking into consideration the experience of the learner. Rather, the effective helper appears to be an individual who offers his learnings in the context of a relationship involving high levels of facilitative and action-oriented dimensions.

The Helping Relationship, as we have seen propounded by Carkhuff, is necessarily geared towards increased personal growth in both the helper and in the helpee, but more especially in the helpee, since he is in greater need of it. Helping the adolescent in the process of personal growth is fraught with many difficulties for the parent. Nevertheless, the fact remains that the responsibility of parents, indeed, their very happiness consists in providing the child with the environment he needs for healthy personal growth. Earnest Larsen considers

this to be the duty of every mature adult when he says :

" We live on a great many levels, some much more authentic than others. Yet all of them take their meaning and are able to contribute to our satisfaction with life only to the extent that we are able to express our innermost self to someone and are busy about the business of bringing others to life. "

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