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The differential effects of the manipulation of therapeutic conditions on high and low functioning clients

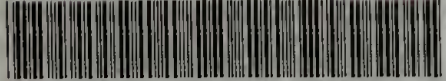
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THE DIFFERENTIAL EFFECTS OF THE MANIPULATION
OF THERAPEUTIC CONDITIONS ON HIGH
AND LOW FUNCTIONING CLIENTS

A Dissertation Presented

By

B. Todd Holder

Submitted to the Graduate School of the
University of Massachusetts in
partial fulfillment of the requirements for the degree of

MASTERS OF SCIENCE

August 1966

Major Subject Psychology

Acknowledgements

The author wishes to express his appreciation for the valuable assistance given him by Dr. Robert R. Carkhuff in preparing this thesis. Also, thanks are given to Dr. Bernard G. Berenson for his constructive advice and to Dr. Myron Manley for his direction he supplied in the statistical manipulations. To my wife, Marjorie, I am indebted for her encouragement and for her typing assistance. Thanks are also extended to those students who took part in the experiment.

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Introduction

The basic question of what therapeutic conditions are instrumental in producing effective therapy has received considerable attention in recent years as a result of the provocative findings of Eysenck (1952, 1960, 1965) and Levitt (1957). These researchers discovered that, in general, the percentage of patients improving with psychotherapy is not different from patients receiving no treatment. In an attempt to fill the knowledge gap produced by their results, various studies have been conducted involving therapist, client, and contextual variables. The ultimate goal is establishment of significant therapeutic conditions.

Whitehorn and Betz (1954) obtained results indicating that the therapists who were warm and attempted to understand the patient in a personal manner, were more successful than those who related impersonally and attended more to the pathology of the patient.

In a review of the studies comparing groups seen by therapists and control groups, Bergin (1963) concludes that the control groups could not actually be considered control groups because many of the members of this group sought help from sources other than professional psychotherapy. The fact that the control groups improved without professional treatment indicates that factors other than psychological "know-how" were responsible for causing the

effects.

This general hypothesis has been supported by the studies done on lay therapy by Appleby (1963), Mendel and Rapport (1963), and Carkhuff and Truax (1965). Non-professional people, trained in certain personal dimensions, proved to be as successful in therapy, according to a variety of client change indices, as experienced therapists.

Considerable evidence has been accumulated in the different schools of psychotherapy to demonstrate the efficacy of particular therapist conditions. Specifically, therapist empathic understanding, therapist positive regard or respect, and therapist genuineness or transparency have been found to be effective in studies done by Halrides (1958), Barrett and Lennard (1962), Rogers (1962), Truax and Carkhuff (1964), Carkhuff (1966), Gross and De Ridder (1966), and Fox and Goldin (1963).

Involved in this global question of effective therapy is the more specific area of causation. Causation in this context means the problem of who determines the conditions functioning in therapy; the therapist, or the client. A logical step towards solving the problem was made by Truax (1961) in which he utilized a Latin Square design to combine a number of therapists with a number of clients, so that each therapist saw each client. The results indicated that it is the therapist, not the client, who determines the level of therapist-offered conditions in therapy and both therapist

and client contribute to client process involvement. Further evidence demonstrating therapists' control of the level of intrapersonal communication is supplied by the data collected in a study by Truax and Carkhuff (1965). In initial therapeutic sessions with schizophrenic patients the level of conditions offered by the therapist was high in the first 20 minute section, intentionally lowered by the therapist in the second section, and raised again in the third. It was discovered that the degree to which a client explores himself was dependent upon the level of the therapist-offered conditions, i.e. when the therapist offered low levels, the client self-explored significantly less than when the therapist offered high levels. It can be concluded from their results that people who themselves function at low levels of interpersonal communication, such as schizophrenics, seem to depend upon the therapists to establish communication levels.

These findings (demonstrating the therapist's ability to manipulate levels of communication) alone are not all inclusive, however. Alexik and Carkhuff (1966) have shown that the level at which a client self-explores, influences to some degree the level of functioning of the therapist. In this study, the client started the hour session exploring herself at a high level, dropping down in the second section, and returning to high levels in the third. The therapist level of conditions were found to vary with client manipulation. The interesting fact here is that only low

functioning therapists were manipulated while high functioning therapists, as determined by scales ratings of empathy, regard, genuiness, and concreteness, operated in general independently of the client, i.e. they did not lower conditions during the second section. The implication is that a relationship exists between the level at which a person functions and the degree to which he communicates independently of the other person. A coherent explanation for the foregoing premise is presented in the comprehensive model proposed by Carkhuff (1966). Rating scales of the different therapeutic dimensions are employed to assign members to the level at which therapists and clients function. By averaging an individual's ratings on the different dimensions, an overall level of functioning is achieved. These ratings can be made on interpersonal functioning, and it is not necessary for the person being rated to be a therapist. Any person who has encountered a lack of understanding and negative relationships with people significant in his life would only be able to communicate interpersonally in a negative manner causing deleterious effects and would be rated level 1. However, if a person's past experience is, on the whole, retarding, but having a few facilitative experiences, he will be functioning at level 2 on the overall scale. That level of interpersonal functioning at which minimal facilitation exists (level 3) is achieved only when the person involved has been exposed to a sufficient number of facilitative

relationships in his own past. In the case where an individual has previously experienced predominantly facilitative encounters (levels 4 and 5), he is most able to produce positive change in the other person involved.

Further implications are made concerning the interaction between people at different levels. An individual functioning at level 1, according to the model, is only able to communicate in relationships with other people when they supply the high conditions. In close connection with this idea is the notion that people at low levels would require contact with people at high levels for a considerable period of time before they would be able to function adequately in interpersonal encounters. Those people who function at level 3 (the minimum level of communication), on the other hand, are not as dependent on others for supplying high conditions, before they are able to communicate high levels of the conditions themselves. Evidence for this idea is found in the data of the previously mentioned study of Alexik and Carkhuff (1966) in which the high functioning therapists operated independently of the degree to which the client explored herself.

The model further implies that people functioning at high levels require less contact with a facilitating therapist once a high level of interpersonal communication is established. Rather, they would benefit more from cognitive suggestions concerning directions as individuals.

In an attempt to test the prediction of the model

concerning the individual's dependency in therapy, the present experiment is designed to compare the effects on low and high functioning clients when exposed to low and high therapist conditions offered by an otherwise high-functioning therapist. The design of the experiment is similar to that utilized by Truax and Carkhuff (1965) with schizophrenics, differing only in respect to the client population tested. This study manipulates therapist conditions with clients functioning at high levels (2.5-3.0) as well as those functioning at lower levels (1.0-1.5). The schizophrenic population worked with in the study by Truax and Carkhuff is considered equivalent to the lower functioning group. It is hypothesized (1) that the lower functioning client will be manipulated in the degree to which they explore themselves when conditions are experimentally lowered and (2) that in interacting with a high functioning therapist who provides high levels of conditions initially, the high functioning clients will explore themselves independently of the therapist level of functioning.

Method

Procedure:

Eleven female students randomly selected from an educational psychology course were cast in a helping role with a standard interviewee. Each was instructed to "help" the interviewee as much as she could. The interviewee, in

turn, presented each helper with some emotional problem he was experiencing at the time. These taped half-hour interactions were broken into segments and were randomly presented to experienced raters, who rated the overall level at which each subject functioned according to established therapeutic conditions, including empathic understanding, positive regard, genuineness, and concreteness. From the eleven original subjects chosen the three highest functioning and the three lowest functioning were selected for the second phase of the experiment.

The second phase of the experiment was comprised of a one hour interaction in which the selected six subjects saw an experienced counselor, who presented himself as a counselor who was trying to offer "as much help as possible in the time they have together."

In previous research the counselor involved had been found to function at the following levels of the facilitative dimensions: E. 3.75; R. 3.50; G. 3.33; C. 3.08; Ex. 3.50.

In contrast to the normal therapeutic session, the counselor offered varying levels of conditions in different periods of the interaction. In the first twenty minute section high levels of therapist's conditions were offered (approximately 3.5 average overall), followed by a twenty minute section in which lower levels of conditions were offered (approximately 1.5). In the last twenty minute section the high levels were reinstated (approximately 3.75).

Following section 1 and section 2 of each interview, the conversation was interrupted by a knock on the door and an announcement of a telephone call for the counselor. This helped to divide the sections for the counselor and give him some sort of an excuse for offering varying levels of conditions to the client.

It should be pointed out that during the second period in which the lower levels of conditions were offered, the therapist did not show any negative regard, or was he phony; rather, he simply attempted to withhold the most appropriate responses and remain, for the most part, innocuous.

Measurement

In order to obtain a measure of the conditions offered and the level at which the subjects self-explored in the different sections, five three-minute taped excerpts were taken from each section and were randomized. Two trained raters rated the excerpts, not knowing from which section they came.

Ratings were made with the use of six 5-point scales covering the range of levels of the different conditions involved. (Carkhuff, 1966). These include empathy (E), positive regard (R), genuineness (G), concreteness (C), self-disclosure (SD), and the degree to which the client explores himself (EX). Level 1 on the E scale is demonstrated by the counselor's complete ignorance of even the most apparent surface feelings of the client, not to mention any

deeper feelings he might have. At level 3 the empathic responses of the counselor represent a minimal understanding of the deeper feelings of the client, but add little to the communication and at level 5 the responses of the counselor indicate to the client that he empathically understands his deepest feelings. Regard at level 1 is represented by negative feelings on the part of the counselor, rising to minimal positive regard at level 3, and reaching a state of deep caring for the client at level 5. The dimension of genuineness covers a range from level 1, where counselor responses are very discrepant with what he is feeling at the time to level 5 where he freely and deeply communicates his real self. Lower levels of C are found when the counselor deals with abstract information, not relevant to the counselor's problems. When the conversation is continually centered around specific points, level 5 ratings are given. SD moves from level 1 where the counselor freely volunteers, with appropriate discrimination, information about his personal ideas, attitudes, and experiences. The range of EX starts at level 1, where the client refrains from exploring his intimate feelings completely, to level 3 where a moderate amount of self-exploration is indulged in. Level 5 exists when the client explores his most intimate feelings and tries to discover new feelings regarding himself and his work.

Results

Statistical analyses clearly show that the stated hypotheses are supported by the data. Figures 3-7 illustrate the great discrepancy between the level at which therapist process variables were offered during the different sections of the hour. In each case the levels of empathy, regard, genuineness, concreteness, and self-disclosure offered began at approximately 3.5, dropped to 1.5, and then raised to 4.0. Table 1 summarizes these differences with the use of t-tests. For each subject the discrepancy was significant between the overall level of conditions offered during the different sections. Pronounced differences were found between section 1 and 2 and sections 2 and 3, with smaller discrepancies being found between sections 1 and 3.

These data are important when taken into consideration in conjunction with the patterns of self-exploration engaged in by the high and low functioning clients. Figure 1 maps the patterns of the high functioning clients when exposed to the experimental manipulation of therapist variables. The response levels for these clients remain at approximately 3.0 during the first two sections and then rise to approximately 3.75 in the last section. As can be seen in Table 2, for each of the high clients there are no significant differences between sections 1 and 2, but between

sections 1 and 3 and sections 2 and 3 there are. For each of the low functioning clients, as illustrated in Figure 2, the level of self-exploration lowered significantly in section 2 from what it was in section 1, and then it raised to its highest level in section 3. These patterns are in accord with the original predictions that high clients would not be effected by a drop in conditions once the bases for communication had been established while low clients would lower their degree of self-exploration when this occurred.

In Table 3 is presented comparisons of the average levels of self-exploration for the high subjects during each section and the low subjects in each section. As was shown in Table 2, the average level of responding for the high functioning clients during section 1 did not differ significantly from that of section 2 but did differ significantly from section 3. Also, sections 2 and 3 were discrepant (.05). The low clients differed significantly in sections 1 and 2 (.05) and in sections 2 and 3 (.05), but not in sections 1 and 3.

When the high clients were compared to the low clients in each section, the average levels differed significantly with the greatest discrepancy being found in section 2. This was according to prediction.

The fact that significant differences existed between the conditions offered and the levels of self-exploration in section 1 with those of section 3 can be accounted for by the natural developments of effective therapy. That is, when

a therapist is making positive changes in therapy, it is expected that the instrumental conditions offered and the consequential responses will be higher at termination than at the beginning.

Table 1. t-Test Comparisons of Overall Therapist Conditions Offered Each Client During the Three Sections.

	<u>Section 1 vs. 2</u>	<u>Section 1 vs. 3</u>	<u>Section 2 vs. 3</u>
<u>Subject 1</u>	-8.10***	4.64**	23.67***
<u>Subject 2</u>	15.67***	8.51***	19.36***
<u>Subject 3</u>	-11.66***	3.25*	23.61***
<u>Subject 4</u>	-13.70***	3.67**	15.91***
<u>Subject 5</u>	12.62***	4.74**	13.83***
<u>Subject 6</u>	-8.44***	3.80**	12.72***

* - Significance at the .05 level

** - Significance at the .01 level

*** - Significance at the .001 level

Table 2. Individual t-Test Comparisons of Self-exploration
During the Three Sections.

	<u>Section 1 vs. 2</u>	<u>Section 1 vs. 3</u>	<u>Section 2 vs. 3</u>
<u>Subject 1</u>	.56	4.10**	4.78**
<u>Subject 2</u>	1.76	7.33***	5.67***
<u>Subject 3</u>	2.06	4.33***	5.65***
<u>Subject 4</u>	3.02*	3.55**	9.55***
<u>Subject 5</u>	5.09***	1.77	4.80**
<u>Subject 6</u>	5.38***	.63	5.30***

* - Significance at the .05 level

** - Significance at the .01 level

*** - Significance at the .001 level

Table 3. t-Test of the Comparison of the Average Level of Self-exploration for High Functioning Clients in Each Section of the Interview with the Average Level of Low Clients in Each Section.

		<u>High Clients</u>		
		<u>Section 1</u>	<u>Section 2</u>	<u>Section 3</u>
<u>High</u> <u>Clients</u>	<u>Section 1</u>	0.00	0.06	-3.99*
	<u>Section 2</u>	0.06	0.00	-3.47*
	<u>Section 3</u>	3.99*	3.47*	0.00
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<u>Low</u> <u>Clients</u>	<u>Section 1</u>	-2.80*	-2.61	-6.30**
	<u>Section 2</u>	-6.20**	5.65**	-10.05***
	<u>Section 3</u>	-1.56	-1.51	4.27*
<hr/>				
		<u>Low Clients</u>		
		<u>Section 1</u>	<u>Section 2</u>	<u>Section 3</u>
<u>High</u> <u>Clients</u>	<u>Section 1</u>	2.80*	6.20**	1.56
	<u>Section 2</u>	2.61	5.65**	1.51
	<u>Section 3</u>	6.30**	10.05***	4.27*
<hr/>				
<u>Low</u> <u>Clients</u>	<u>Section 1</u>	0.00	2.82*	-0.59
	<u>Section 2</u>	2.82*	0.00	-2.88*
	<u>Section 3</u>	0.59	2.88*	0.00

* Significance at the .05 level

** Significance at the .01 level

*** Significance at the .001 level

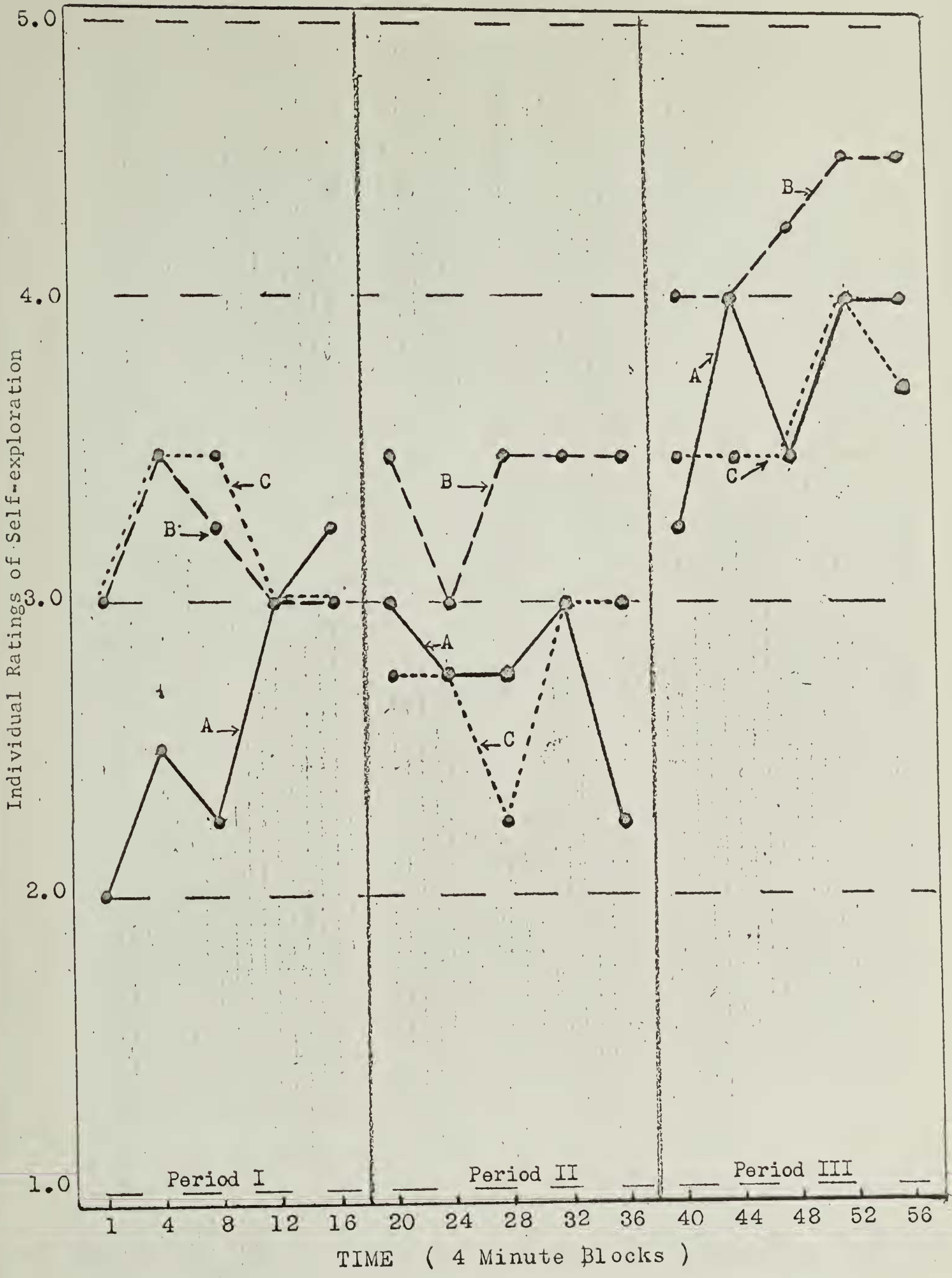


Figure 1. Levels of Depth of Self-Exploration Engaged in by the High Functioning Clients, A, B and C, During Periods I, II and III.

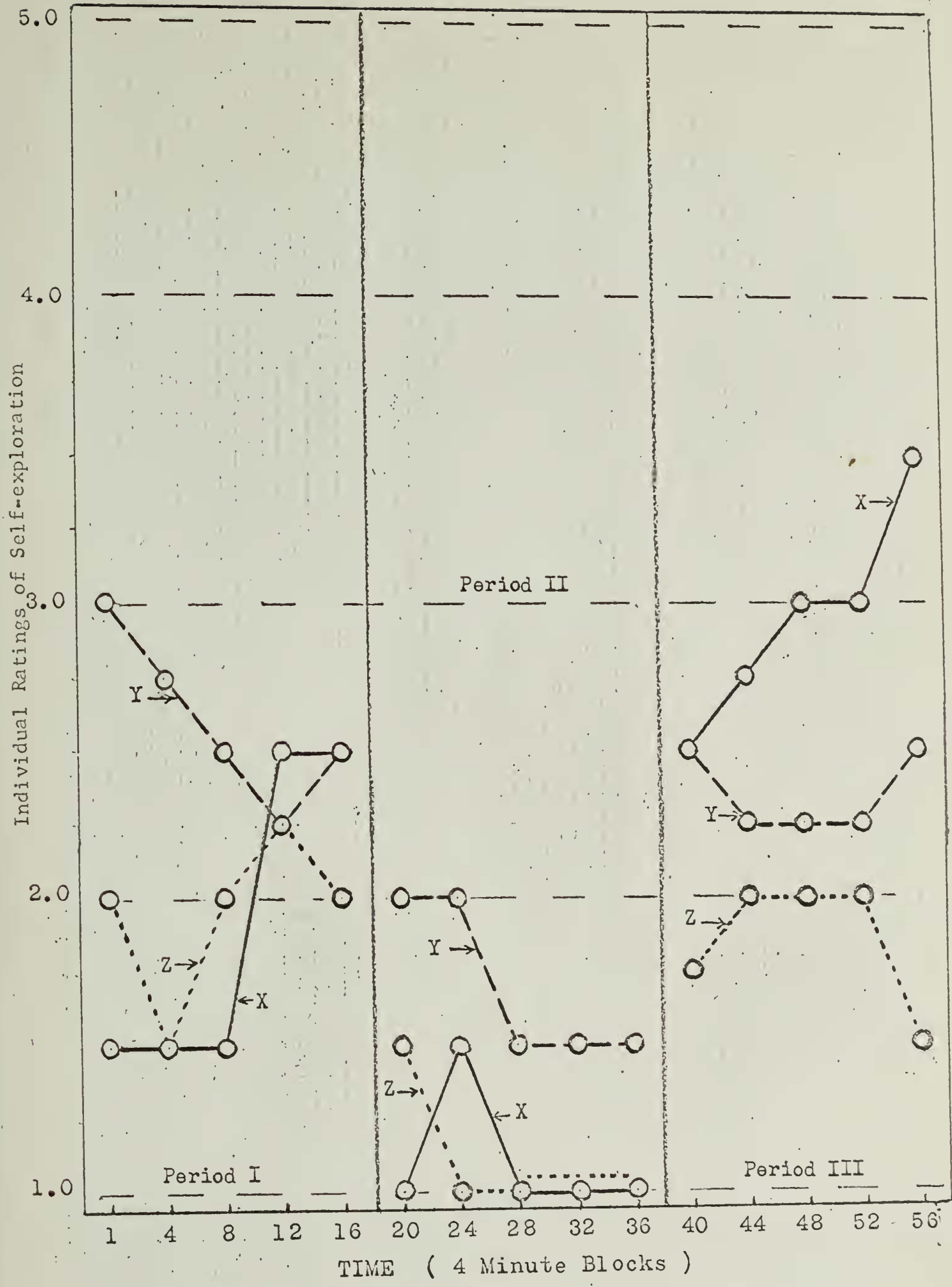


Figure 2. Levels of Depth of Self-Exploration Engaged in by the Low Functioning Clients, X, Y and Z, During Periods I, II and III.

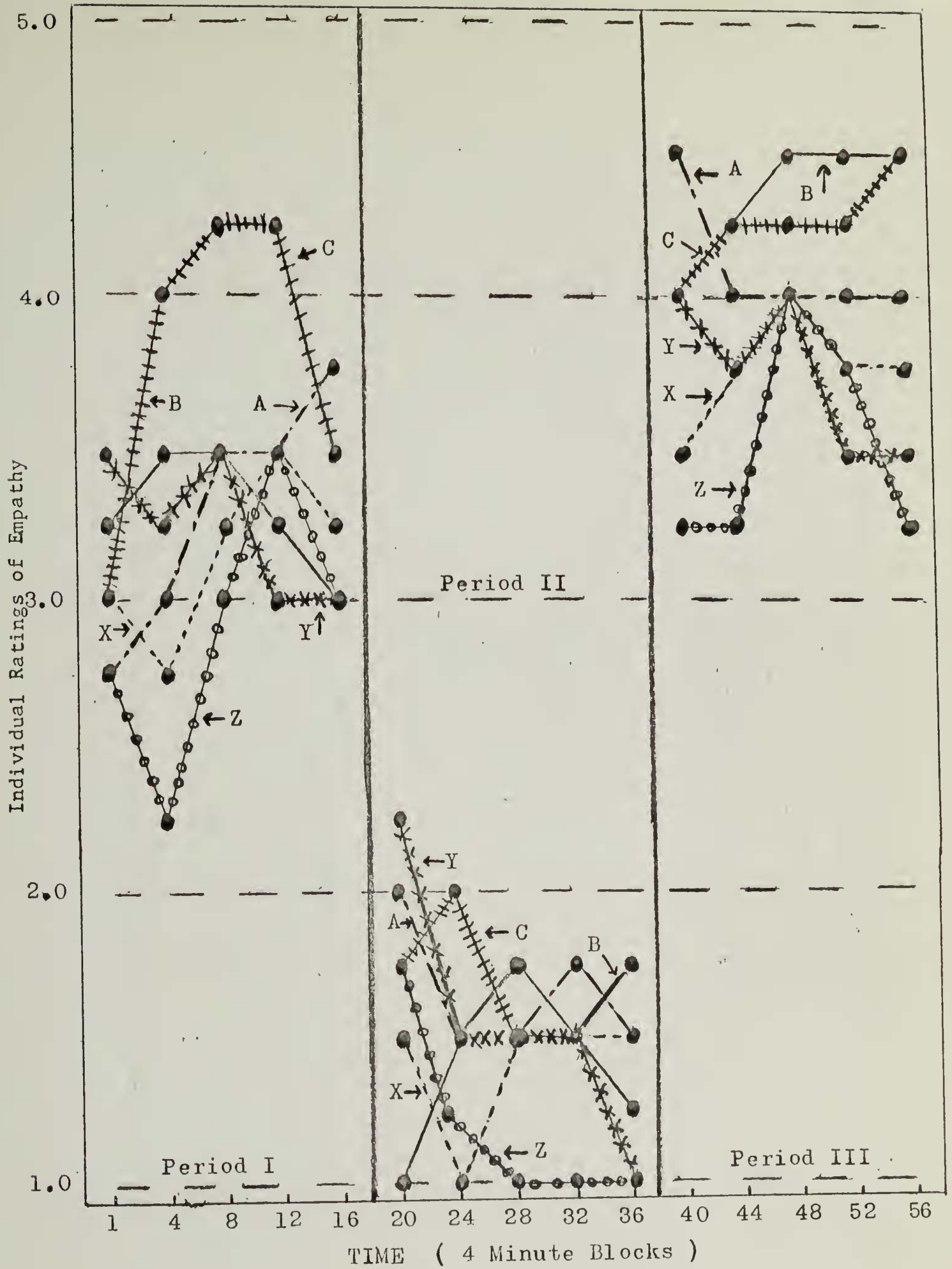


Fig. 3. Levels of Empathy Offered to the Different Clients by the Counselor During the Three Periods.

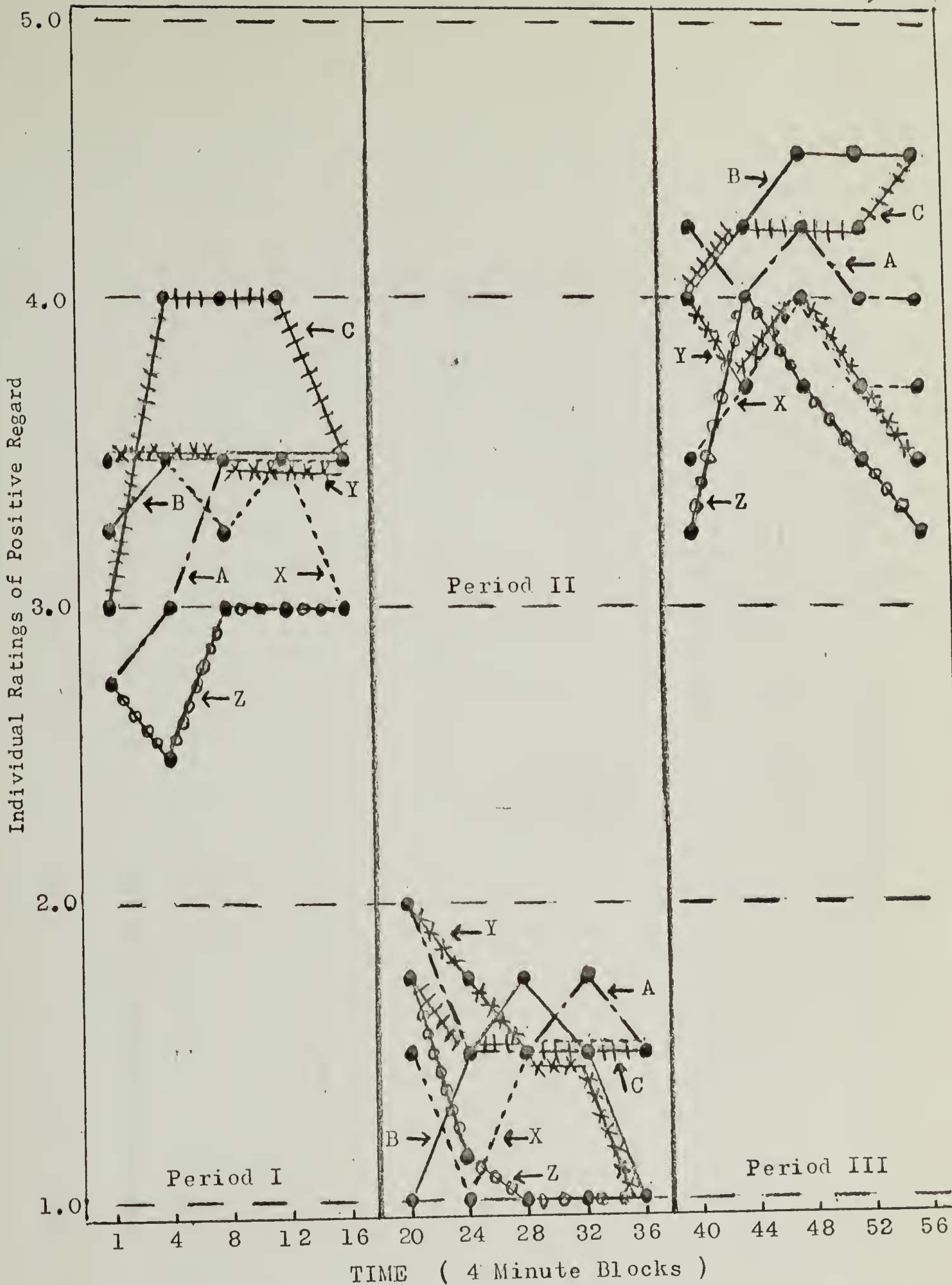


Fig. 4. Levels of Positive Regard Offered to the Different Clients by the Counselor During the Three Periods.

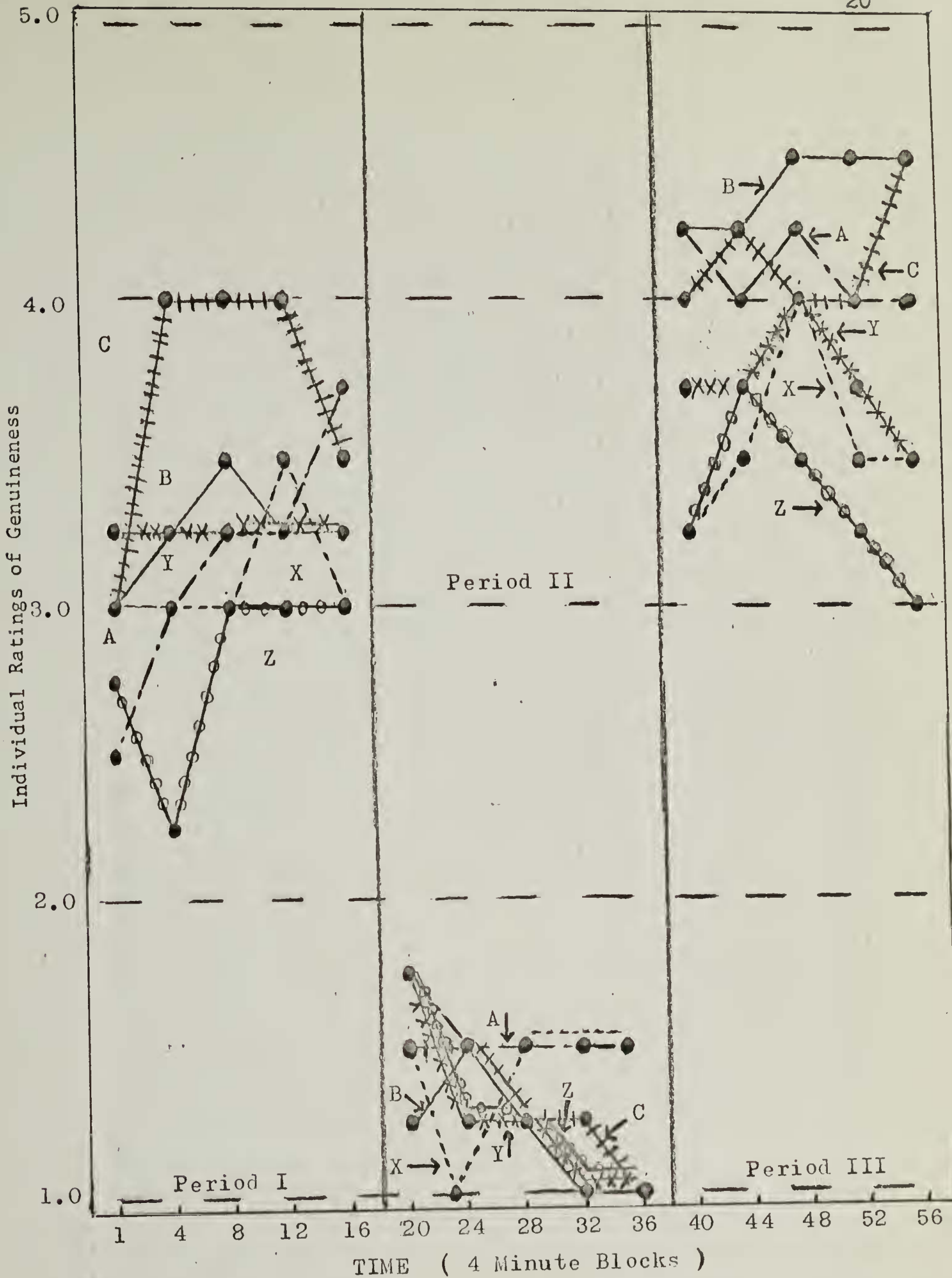


Fig. 5. Levels of Genuineness Offered to the Different Clients by the Counselor During the Three Periods.

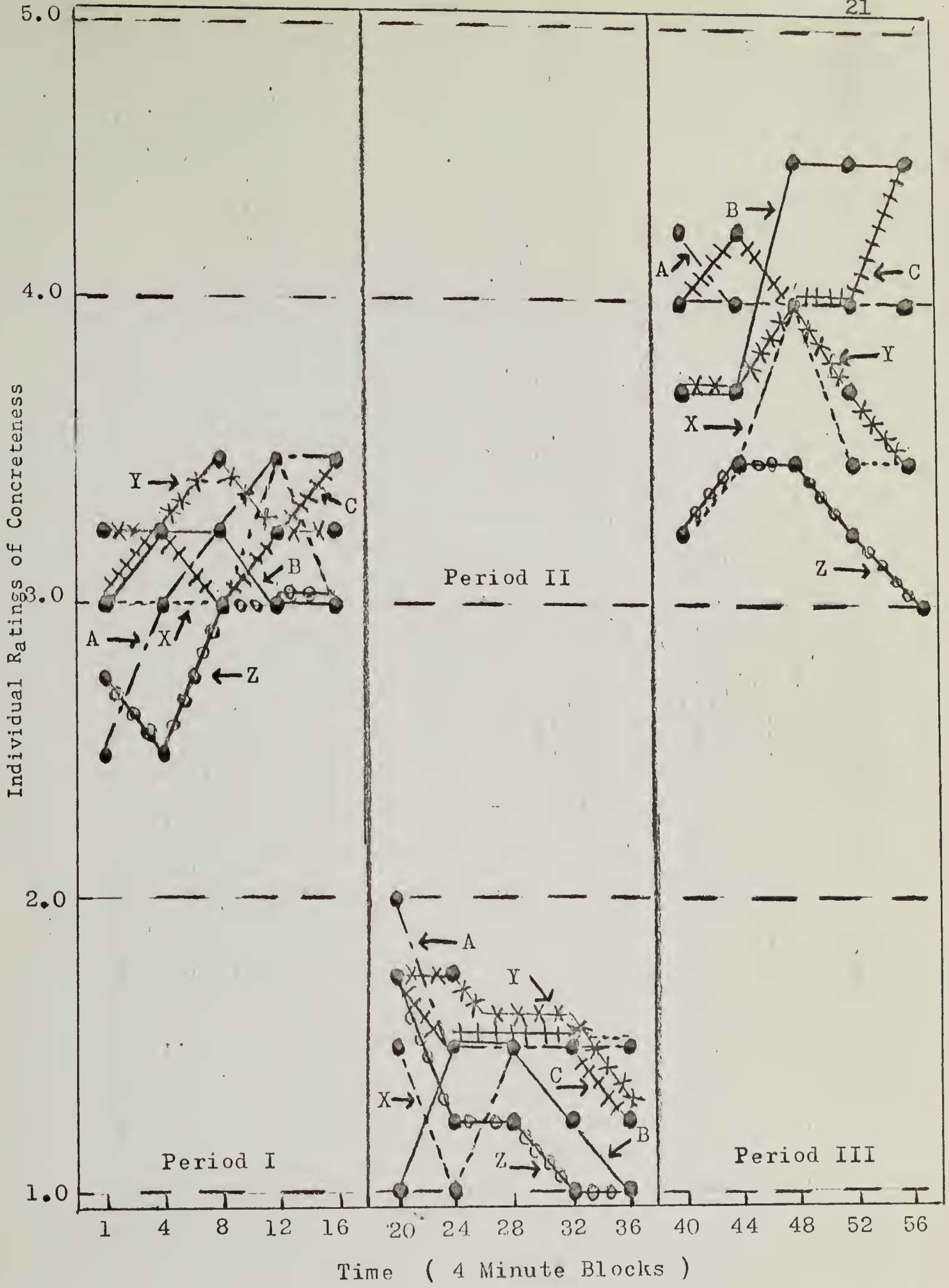


Fig. 6. Levels of Concreteness Offered to the Different Clients by the Counselor During the Three Periods.

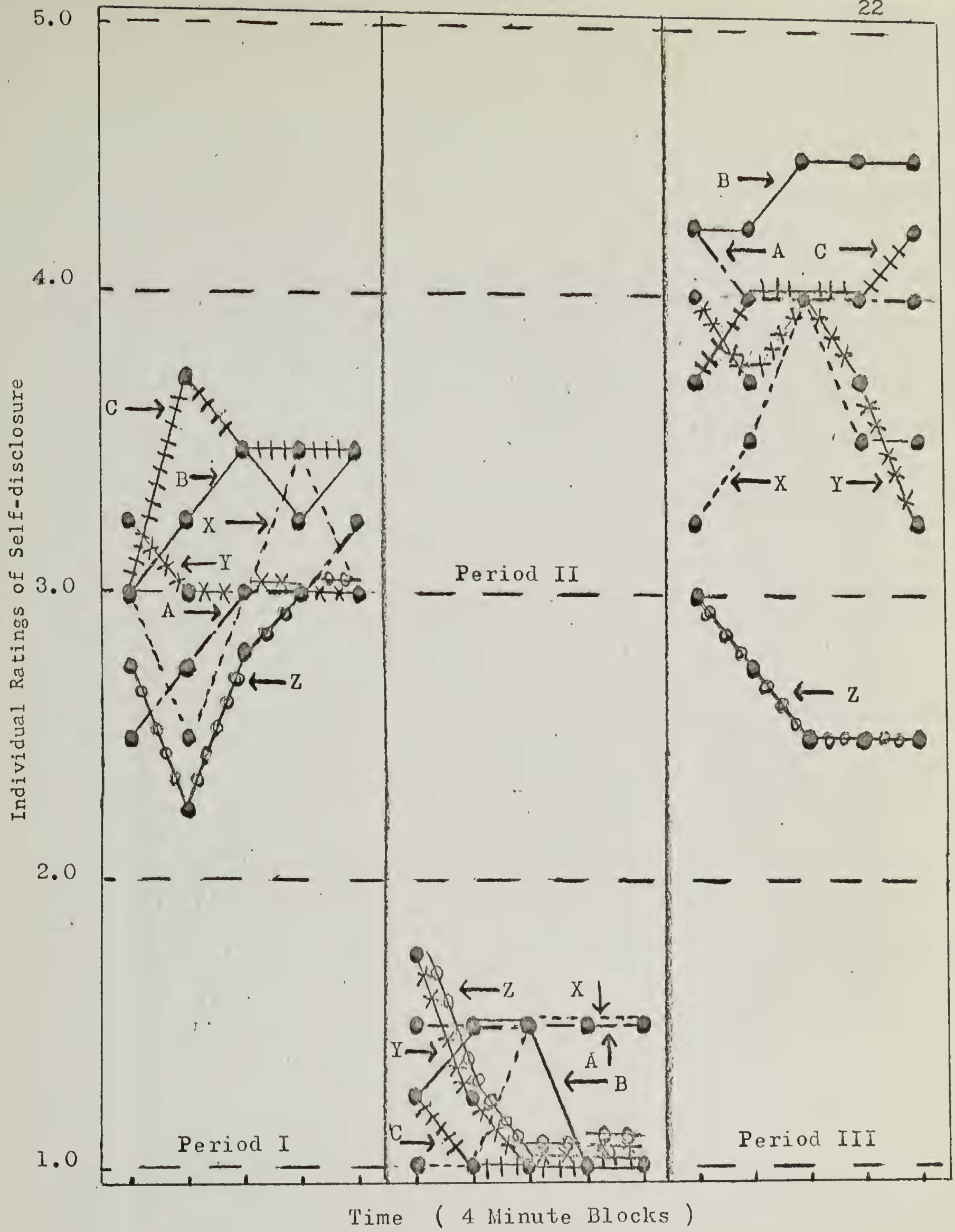


Fig. 7. Levels of Self-disclosure Offered to the Different Clients by the Counselor During the Three Periods.

Discussion

As was anticipated, the data reveal different patterns of self-exploration on the part of the high functioning clients as compared to the low functioning clients, i.e. the highs are much less affected by a drop in the therapist's level of facilitative conditions than the lows during the second section of the hour. An interpretation of these trends would emphasize the relationship existing between the level of client functioning, when cast in a helping role, and the independence of their response patterns, as measured by the degree of self-exploration engaged in. Greater independence from the therapist's level of functioning is found in those individuals functioning at high levels (approximately level 3), and greater dependence for those functioning at lower levels (approximately level 1). These results have significance in regard to recent research developments in this area of study, some of which will be discussed below.

It should be noted that considerable literature points to the fact that self-exploration is a therapeutic process variable worthy of attention in this realm of research. In the various approaches to therapy evidence has been accumulated to illustrate the relevance of client responses pertaining to oneself. Wagstaff, Rice, and Butler (1960) compared successful and unsuccessful cases of people seen in client-centered therapy as to the amount of self-exploration they

indulged in. They found that successful clients explored themselves considerably more than the clients did who failed to improve. The work of Braaten (1961) and Tomlinson and Hart (1962) add to the evidence. The results obtained by Truax and Carkhuff (1964) showing that the level of self-exploration even in the early therapy sessions was predictive of outcome is valuable here in that the present study deals with initial therapeutic encounters.

Concerning the question of causality, these data combine with those of Truax (1961) and Truax and Carkhuff (1965) in pointing out the cause and effect relationship between the conditions offered by the therapist and the client response levels. It appears that during therapeutic interactions the therapist, at least in part, is instrumental in determining the plane at which communication flows. The present study expands upon the Truax and Carkhuff study (1965) by including a broader range of client populations.

Some assumptions made in the comprehensive model of psychotherapy, proposed by Carkhuff (1966) are substantiated by these results. According to it, a person functioning at level 1 is described as being inept in interpersonal communications. He is believed to have been a consequence of predominantly retarding relationships with significant people in his life. Consequently, he may regard every new encounter as potentially retarding, including therapy. In order for him to abandon this attitude, highly facilitative conditions on

the part of the other member of the interaction must be continuously given. Until they are, he may function at lower levels out of necessity. (Carkhuff and Truax, 1966). The experimental lowering of therapist-conditions during the second section in this study provided an opportunity to test this postulate. When conditions were lowered, those subjects rated as being in the general category of level 1 ceased to explore themselves at the comparatively high level they had during the first section. A person at level 3, however, has experienced some facilitative encounters in his past, and, in turn, is able to function at a minimum level of facilitation with other people, i.e. he is capable of giving the other person some indication of his respect and understanding of him. Once an interaction of a personal nature has been established at a high level with another individual, clients at level 3 can operate independently of a high functioning therapist, and his facilitative processes are no longer essential for the communication. Those subjects functioning in this category responded at a higher level during the second section of the hour, as was predicted.

Results reported by Alexik and Carkhuff (1966) have dealt with this same question and supply additional evidence for the independence of high functioning individuals. As was mentioned earlier, in this study the client's self-exploratory responses were manipulated to measure the effect upon the facilitative dimensions offered by the therapist.

The level of functioning of those therapists, who rated high on the basic core of facilitative conditions, tended to rise when the client lowered her self-exploration. In contrast, those therapists, who rated low, dropped considerably in the level of facilitative conditions offered the client and failed to recuperate when the client raised her self-exploration in the third section. These differing patterns are indicative of the manner in which different people react to "crisis" situations. They imply that when the crises come in therapy, involving the interaction of therapist and client, only the high functioning therapist is able to continue in offering the essentials for successful therapy. In short, he is able to meet the crises while the low functioning therapist is not.

The results reported in this study lay the bases for some valuable implications concerning therapeutic practice and training. A small, but vital, step has been taken towards closing the "gap" between the enormous social demand for effective therapeutic practices and the capacities that psychology has for filling it (Eysenck 1952, 1960, 1966; Levitt 1957). As was shown in the study by Truax and Carkhuff (1965), there seems to be some basis for establishing the significance of the basic core of facilitative conditions (Carkhuff, 1966) as being effective variables in therapy. A broader range of client populations are dealt with in this experiment, however, providing additional information

in regard to the treatment of high functioning clients (level 3), as well as low functioning clients (level 1).

In an attempt to find an explanation for the reported similarity in outcome between those groups receiving psychotherapy and those not receiving it, Truax and Carkhuff (1964) divided schizophrenic patients into categories of those receiving high levels of effective therapist conditions (empathy, unconditional positive regard, and therapist congruence) and those receiving low levels of these conditions. They found that those categorized in the former group improved considerably more than the group receiving no therapy; those categorized in the latter group actually deteriorated according to a variety of outcome indices. When considered in total, however, no differences were detected between the experimental and control groups. In short, it was pointed out that therapy can be for better or for worse. The results found by manipulating therapist's level of functioning in the present experiment give support to the above findings. Looking at the patterns for the low functioning client (those who most commonly would be found in therapy), it can be seen that when significant therapist conditions are at a high level, self-exploration on the part of the client is at a high level, and when therapist conditions are low (section 2) client self-exploration, in turn, is low. When considered in light of the data correlating client self-exploration and positive outcome (Wagstaff, Rice, and Butler,

1960; Braaten, 1961, Tomlinson and Hart, 1962; and Truax 1961), it seems that therapy might very well be helpful or deleterious to the patient, depending upon the level of conditions offered by the therapist.

This study, designed after the study by Truax and Carkhuff (1965), uses only a female population. Whether the same results could be obtained using both female and male populations remains to be seen. In another respect, also, this study is limited in that only a high functioning therapist varied his level of process variables. This was done mainly to ensure that a wide range of conditions were offered in the high and low sections. The next link in this chain of research might involve an experiment in which sex differences and the level of functioning of both therapist and client would be varied. That is, therapists would be of both high levels (level 3 or above) and low levels (approximately level 2) and would be male and female. Each therapist would see two female and two male clients, one functioning at high and one functioning at low levels, when cast in the helping role. Sixteen combinations in all would be involved.

With the use of such a design there would be the obvious advantage of discovering the influences of sex differences on therapist-client interactions as they are observed here. Concerning the dynamics of therapist functioning, it would be interesting to see how the low functioning therapist affects the behavior of the clients. Without the

essentials for a qualitative communication being supplied by the therapist in the first section of the hour, would the high functioning clients respond as they had when the essentials were supplied, i.e. would they function independently of the therapist? The low level clients not possessing many of the essentials for interpersonal communication and not receiving them in the interaction, possibly would respond at low levels throughout. The results of such an experiment are yet to be found, but they provide incentive for research to be done along these lines.

Summary

It was demonstrated that the pattern of self-exploration of clients functioning at high levels, when cast in the therapist's role, differed from that of clients functioning at low levels as a result of a manipulation of therapist conditions. The high functioning clients explored themselves at a continuously high rate when therapist's conditions were presented at high levels, lowered, and then raised to high levels again. A significant drop was detected, however, in the pattern of self-exploration for the clients functioning at lower levels.. The data are interpreted as evidence supporting the hypothesis that people functioning at low levels are dependent on others for maintenance of facilitative interpersonal communication, and that people at high levels

act independently of others, once a meaningful relationship has been established with other high level functioning persons. The implications for therapy are valuable. Support for the efficacy of the basic core of facilitative conditions in therapy was given. Also, both the facilitative and deleterious effects of therapy were illustrated by manipulating the levels of effective therapist elements (empathic understanding, regard, genuineness, and concreteness).

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APPENDIX A

Empathic Understanding in Interpersonal Processes

A Scale for Measurement¹

Bernard G. Berenson, Robert R. Carkhuff, J. Alfred Southworth

Level 1

The first person appears completely unaware or ignorant of even the most conspicuous surface feelings of the other person(s).

Example: The first person may be bored or disinterested or simply operating from a preconceived frame of reference which totally excludes that of the other person(s).

In summary, the first person does everything but listen, understand or be sensitive to even the surface feelings of the other person(s).

Level 2

The first person responds to the surface feelings of the other person(s) only infrequently. The first person continues to ignore the deeper feelings of the other person(s).

Example: The first person may respond to some surface feelings but tends to assume feelings which are not there. He may have his own ideas of what may be going on in the other person(s) but these do not appear to correspond with those of the other person(s).

In summary, the first person tends to respond to things other than what the other person(s) appear to be expressing or indicating.

Level 3

The first person almost always responds with minimal understanding to the surface feelings of the other person(s) but, although making an effort to understand the other person's deeper feelings almost always misses their import.

Example: The first person has some understanding of the surface aspects of the messages of the other person(s) but often misinterprets the deeper feelings.

In summary, the first person is responding but not aware of who that other person really is or of what that other person is really like underneath. Level 3 constitutes the minimal level of facilitative interpersonal functioning.

Level 4

The facilitator almost always responds with understanding to the surface feelings of the other person(s) and sometimes but not often responds with empathic understanding to the deeper feelings.

Example: The facilitator makes some tentative efforts to understand the deeper feelings of the other person(s).

In summary the facilitator is responding, however infrequently with some degree of empathic understanding of the deeper feelings of the other person(s).

Level 5

The facilitator almost always responds with accurate empathic understanding to all of the other person's deeper feelings as well as surface feelings.

Example: The facilitator is "together" with the other person(s) or "tuned in" on the other person's wavelength. The facilitator and the other person(s) might proceed together to explore previously unexplored areas of human living and human relationships. The facilitator is responding with full awareness of the other person(s) and a comprehensive and accurate empathic understanding of his most deep feelings.

1. The present scale "Empathic understanding in interpersonal processes" has been derived in part from "A scale for the measurement of accurate empathy (Truax, 1961)" which has been validated in extensive process and outcome research on counseling and psychotherapy (Bergin and Solomon, 1963; Carkhuff and Truax, 1965, 1965a, 1965b; Rogers, 1962; Truax, 1963; Truax and Carkhuff, 1963, 1964, 1965). In addition, similar measures of similar constructs have received extensive support in the literature of counseling and therapy (Barrett-Leonard, 1962; Demos, 1964; Halkides, 1958; Truax, 1961) and education (Aspy, 1965). The present scales were written to apply to all interpersonal processes and have already received research support (Carkhuff, 1965, 1965a; Brenson, Carkhuff and Myrus, 1965).

The present scale represents a systematic attempt to reduce the ambiguity and increase the reliability of the scale. In the process many important delineations and additions have been made. For comparative purposes, Level 1 of the present scale is approximately equal to Stage 1 of the earlier scale. The remaining levels are approximately correspondent: Level 2 and Stages 2 and 3 of the earlier version; Level 3 and Stages 4 and 5; Level 4 and Stages 6 and 7; Level 5 and Stages 8 and 9.

Respect or Positive Regard in Interpersonal Processes

A Scale for Measurement¹

Robert R. Carkhuff

J. Alfred Southworth

Bernard G. Berenson

Level 1

The first person is communicating clear negative regard for the second person.

Example: The first person may be actively offering advice or telling the second person what would be "best" for him.

In summary, in many ways the first person acts in such a way as to make himself the focus of evaluation and sees himself as responsible for the second person.

Level 2

The first person responds to the second person in such a way as to communicate little positive regard.

Example: The first person responds mechanically or passively or ignores the feelings of the second person.

In summary, in many ways the first person displays a lack of concern or interest for the second person.

Level 3

The first person communicates a positive caring for the second person but there is a conditionality to the caring.

Example: The first person communicates that certain kinds of actions on the part of the second person will reward or hurt the first person.

In summary, the first person communicates that what the second person does or does not do matters to the first person. Level 3 constitutes the minimal level of facilitative interpersonal functioning.

Level 4

The facilitator clearly communicates a very deep interest and concern for the welfare of the second person.

Example: The facilitator enables the second person to feel free to be himself and to be valued as an individual except on occasion in areas of deep personal concern to the facilitator.

In summary, the facilitator sees himself responsible to the second person.

Level 5

The facilitator communicates a very deep respect for the second person's worth as a person and his rights as a free individual.

Example: The facilitator cares very deeply for the human potentials of the other person.

In summary, the facilitator is committed to the value of the other person as a human being.

1. The present scale, "Respect or Positive Regard in Interpersonal Processes has been derived in part from " A Tentative Scale for the Measurement of Unconditional Positive Regard" (Truax, 1962) which has been validated in extensive process and outcome research on counseling and psychotherapy (Carkhuff and Truax, 1965; 1965a; Rogers, 1962; Truax, 1963; Truax and Carkhuff, 1963, 1964, 1965). In addition, similar measures of similar constructs have received extensive support in the literature of counseling and therapy (Barrett-Lennard, 1962; Demos, 1964; Halkides, 1958; Scotts, 1962) and education (Christianson, 1961; Truax and Tatum, 1962). The present scales were written to apply to all interpersonal processes and have already received research support (Carkhuff, 1965, 1965a; Berenson, Carkhuff and Myrus, 1965).

The present scale represents a systematic attempt to reduce the ambiguity and increase the reliability of the scale. In the process many important delineations and additions have been made. For comparative purposes, the levels of the present scale are approximately equal to the stages of the earlier scale, although the systematic emphasis upon the positive regard rather than upon unconditionality represents a pronounced divergence of emphasis.

Facilitative Genuineness in Interpersonal Processes

A Scale for Measurement¹

Robert R. Carkhuff

Level 1

The first person's verbalizations are clearly unrelated to what he is feeling at the moment, or his only genuine responses are negative in regard to the second person (s) and appear to have a totally destructive effect upon the second person.

Example: The first person may be defensive in his interaction with the second person(s) and this defensiveness may be demonstrated in the content of his words or his voice quality and where he is defensive he does not employ his reaction as a basis for potentially valuable inquiry into the relationship.

In summary, there is evidence of a considerable discrepancy between the first person's inner experiencing and his current verbalizations or where there is no discrepancy the first person's reactions are employed solely in a destructive fashion.

Level 2

The first person's verbalizations are slightly unrelated to what he is feeling at the moment or when his responses are genuine they are negative in regard to the second person and the first person does not appear to know how to employ his negative reactions constructively as a basis for inquiry into the relationship.

Example: The first person may respond to the second person(s) in a "professional" manner that has a rehearsed quality or a quality concerning the way a helper "should" respond in that situation.

In summary, the first person is usually responding according to his prescribed "role" rather than to express what he personally feels or means and when he is genuine his responses are negative and he is unable to employ them as a basis for further inquiry.

Level 3

The first person provides no "negative" cues between what he says and what he feels, but he provides no positive cues to indicate a really genuine response to the second person(s).

Example: The first person may listen and follow the second person(s) but commits nothing more of himself.

In summary, the first person appears to make appropriate responses which do not seem insincere but which do not reflect any real involvement either. Level 3 constitutes the minimal level of facilitative interpersonal functioning.

Level 4

The facilitator presents some positive cues indicating a genuine response (whether positive or negative) in a non-destructive manner to the second person(s).

Example: The facilitator's expressions are congruent with his feelings although he may be somewhat hesitant about expressing them fully.

In summary, the facilitator responds with many of his own feelings and there is no doubt as to whether he really means what he says and he is able to employ his responses whatever their emotional content, as a basis for further inquiry into the relationship.

Level 2

The facilitator is freely and deeply himself in a non-exploitative relationship with the second person(s).

Example: The facilitator is completely spontaneous in his interaction and open to experiences of all types, both pleasant and hurtful, and in the event of hurtful responses the facilitator's comments are employed constructively to open further area of inquiry for both the facilitator and the second person.

In summary, the facilitator is clearly being himself and yet employing his own genuine responses constructively.

¹ The present scale, "Facilitative genuineness in interpersonal processes" has been derived in part from "A tentative scale for the measurement of therapist genuineness or self-congruence" (Truax, 1962) which has been validated in extensive process and outcome research on counseling and psychotherapy (Barret-Lennard, 1962; Dickenson, 1965; Halkides, 1958; Jourard, 1962; Truax, 1961), and education (Aspy, 1965). The present scale represents a systematic attempt to reduce the ambiguity and increase the reliability of the scale. In the process, many important delineations and additions have been made. For comparative purposes, the levels of the present scale are approximately equal to the stages of the earlier scale, although the systematic emphasis upon the constructive employment of negative reactions represents a pronounced divergence of emphasis.

Personally Relevant Concreteness or Specificity of Expression
in Interpersonal Processes

A Scale for Measurement¹

Robert R. Carkhuff

Level 1

The first person leads or allows all discussion with the second person(s) to deal only with vague and anonymous generalities.

Example: The first person and the second person discuss everything on strictly an abstract and highly intellectual level.

In summary, the first person makes no attempt to lead the discussion into the realm of personally relevant specific situations and feelings.

Level 2

The first person frequently leads or allows even discussions of material personally relevant to the second person(s) to be dealt with on a vague and abstract level.

Example: The first person and the second person may discuss "real" feelings but they do so at an abstract, intellectualized level.

In summary, the first person does not elicit discussion of most personally relevant feelings and experiences in specific and concrete terms.

Level 3

The first person at times enables the second person(s) to discuss personally relevant material in specific and concrete terminology.

Example: The first person will help to make it possible for the discussion with the second person(s) to center directly around most things which are personally important to the second person(s) although there will continue to areas not dealt with concretely and areas which the second person does not develop fully in specificity.

In summary, the first person sometimes guides discussions into consideration of personally relevant specific and concrete instances, but these are not always fully developed. Level 3 constitutes the minimal level of facilitative functioning.

Level 4

The facilitator is frequently helpful in enabling the second person(s) to fully develop in concrete and specific terms almost all instances of concern.

Example: The facilitator is able on many occasions to guide the discussion to specific feelings and experiences of personally meaningful material.

In summary, the facilitator is very helpful in enabling the discussion to center around specific and concrete instances of most important and personally relevant feelings and experiences.

Level 5

The facilitator is always helpful in guiding the discussion so that the second person(s) may discuss fluently, directly and completely specific feelings and experiences.

Example: The first person involves the second person in discussion of specific feelings, situations and events, regardless of their emotional content.

In summary, the facilitator facilitates a direct expression of all personally relevant feelings and experiences in concrete and specific terms.

¹ The present scale "personally Relevant Concreteness or Specificity of Expression" has been derived from earlier work (Truax, 1961; Truax and Carkhuff, 1963, 1964). Similar measures of similar constructs have been researched only minimally (Pope and Siegman, 1962). The present scale has received support in research on the training of counselors (Berenson, Carkhuff and Myrus, 1965). The systematic emphasis upon the personally meaningful relevance of concrete and specific expressions represents a pronounced divergence of emphasis.

Facilitative Self Disclosure in Interpersonal Processes
An Experimental Scale for Measurement

James C. Martin and Robert R. Carkhuff

Level 1

The first person actively attempts to remain detached from the second person(s) and discloses nothing about his own feelings or personality to the second person(s) or if he does disclose himself, does so in a way that is not tuned to the second person's interests and may even retard the second person's general progress.

Example: The first person may attempt, whether awkwardly or skillfully, to divert the second person's attention away from focusing upon personal questions concerning the first person or his self-disclosures may be ego shattering for the second person(s) and may ultimately cause him to lose faith in the first person.

In summary, the first person actively attempts to remain ambiguous and an unknown quantity to the second person(s) or if he is self-disclosing he does so solely out of his own needs and is oblivious to the needs of the second person(s).

Level 2

The first person, while not always appearing actively to avoid self-disclosures, never volunteers personal information about himself.

Example: The first person may respond briefly to direct questions from the client about himself, however, he does so hesitantly and never provides more information about himself than the second person(s) specifically requests.

In summary, the second person(s) either does not ask about the personality of the first person or, if he does, the barest minimum of brief, vague and superficial responses are offered by the first person.

Level 3

The first person volunteers personal information about himself which may be in keeping with the second person's interest but this information is often vague and indicates little about the unique character of the first person.

Example: While the first person volunteers personal information and never gives the impression that he does not wish to disclose more about himself, nevertheless, the content of his verbalizations are generally centered upon his reactions to the second person(s) and his ideas concerning their interaction.

In summary, the first person may introduce more abstract, personal ideas in accord with the second person's interests, but these ideas do not stamp him as unique person. Level 3 constitutes the minimum level of facilitative interpersonal functioning.

Level 4

The facilitator freely volunteers information about his personal ideas, attitudes and experiences in accord with the second person's interests and concerns.

Example: The facilitator may discuss personal ideas in both depth and detail and his expressions reveal him to be a unique individual.

In summary, the facilitator is free and spontaneous in volunteering personal information about himself and, in so doing, may reveal in a constructive fashion, quite intimate material about his own feelings, values and beliefs.

Level 5

The facilitator volunteers very intimate and often detailed material about his own personality, and in keeping with the second person's needs, may express information which might be extremely embarrassing under different circumstances or if revealed by the second person to an outsider.

Example: The facilitator gives the impression of holding nothing back and of disclosing his feelings and ideas fully and completely to the second person(s) and if some of his feelings are negative concerning the second person(s) the facilitator employs them constructively as a basis for an open-ended inquiry.

In summary, the facilitator is operating in a constructive fashion at the most intimate levels of self-disclosure.

1. The present scale, "Facilitative self-disclosure in interpersonal processes has been derived in part from "A tentative scale for the measurement of therapist self-disclosure (Dickenson 1965)" which has been validated in process and outcome research in counseling and psychotherapy by Dickenson (1965). In addition, similar measures of similar constructs have received support in the literature of counseling and therapy (Barrett-Lennard, 1962, Jourard, 1958, 1962, 1964; Truax, 1963, Truax-Carkhuff, 1965).

The present scale represents a systematic attempt to reduce the ambiguity and increase the reliability of the earlier scale. In the process many important delineations and additions have been made; for comparative purposes, a particular point of difference in the scales is the consideration given to non-facilitative self disclosure in the present scale. Level 1 of the present scale is approximately equal to Stages 1 and 2 of the earlier scale; Level 2 to Stages 3 and 4; Level 3 to Stages 5 and 6; Level 4 to Stages 7 and 8; Level 5 to Stage 9.

Self-Exploration in Interpersonal Processes

A Scale for Measurement¹

Robert R. Carkhuff

Level 1

The second person does not discuss personally relevant material, either because he has had no opportunity to do such or because he is actively evading the discussion even when it is introduced by the first person.

Example: The second person avoids any self-descriptions or self-exploration or direct expression of feelings that would lead him to reveal himself to the first person.

In summary: for a variety of possible reasons, the second person does not give any evidence of self-exploration.

Level 2

The second person responds with discussion to the introduction of personally relevant material by the first person but does so in a mechanical manner and without the demonstration of emotional feeling.

Example: The second person simply discusses the material without exploring the significance or the meaning of the material or attempting further exploration of that feeling in our effort to uncover related feelings or material.

In summary, the second person responds mechanically and remotely to the introduction of personally relevant material by the first person.

Level 3

The second person voluntarily introduces discussions of personally relevant material but does so in a mechanical manner and without the demonstration of emotional feeling.

Example: The emotional remoteness and mechanical manner of the discussion give the discussion a quality of being rehearsed.

In summary, the second person introduces personally relevant material but does so without spontaneity or emotional proximity and without an inward probing to newly discover feelings and experiences.

Level 4

The second person voluntarily introduces discussions of personally relevant material with both spontaneity and emotional proximity.

Example: the voice quality and other characteristics of the second person are very much "with" the feelings and other personal materials which are being verbalized.

In summary, the second person, introduces personally relevant discussions with spontaneity and emotional proximity but without a distinct tendency toward inward probing to newly discover feelings and experiences.

Level 5

The second person actively and spontaneously engages in an inward probing to newly discover feelings or experiences about himself and his world.

Example: The second person is searching to discover new feelings concerning himself and his world even though at the moment he may be doing so perhaps fearfully and tentatively.

In summary, the second person is fully and actively focusing upon himself and exploring himself and his world.

¹ The present scale "Self exploration in interpersonal processes" has been derived in part from "The measurement of depth of intrapersonal exploration (Truax, 1963) which has been validated in extensive process and outcome research on counseling and psychotherapy (Carkhuff and Truax, 1965, 1966a, 1966b; Rogers, 1962; Truax, 1963; Truax and Carkhuff, 1963, 1964, 1965). In addition, similar measures of similar constructs have received extensive support in the literature of counseling and therapy (Blau, 1953; Braaten, 1958; Peres, 1947; Seaman, 1949; Steele, 1948; Wolfson, 1949).

The present represents a systematic attempt to reduce the ambiguity and increase the reliability of the scale. In the process many important delineations and additions have been made. For comparative purposes, Level 1 of the present scale is approximately equal to Stage 1 of the early scale. The remaining levels are approximately correspondent: Level 2 and Stages 2 and 3; Level 3 and Stages 4 and 5; Level 4 and Stage 6; Level 5 and Stages 7, 8, and 9.

APPENDIX B

Average Ratings of Subjects When Cast in Helping Role

Subjects	Emp.	Regard	Gen.	Concrete.	Self- Explor.
+1	2.35	3.10	2.78	3.06	3.10
2	2.06	2.00	2.75	1.85	2.85
+3	2.68	3.10	3.65	2.95	3.10
4	2.25	2.55	2.05	2.75	2.75
-5	1.50	1.43	1.50	1.43	2.06
6	2.23	2.06	1.95	2.00	2.43
-7	1.43	1.58	1.52	1.43	2.53
-8	1.48	1.53	1.37	1.43	2.43
9	1.95	2.05	2.10	1.95	2.75
10	1.83	2.03	2.13	1.97	2.43
+11	2.13	2.03	3.00	2.08	2.13

+ High functioning clients
- Low functioning clients

Average Ratings of Subjects When Seen as Clients

	Emp.	Regard	Gen.	Concrete.	Self-Disc.	Self-Explor.
Client A						
Section 1	3.30	3.12	3.15	3.12	2.89	2.68
2	1.64	1.68	1.58	1.62	1.50	2.75
3	4.17	4.10	4.10	4.06	4.05	3.75
Client B						
Section 1	3.30	3.43	3.25	3.12	3.25	3.10
2	1.45	1.43	1.21	1.32	1.25	3.40
3	4.37	4.30	4.38	4.15	4.38	4.25
Client C						
Section 1	3.94	3.62	3.62	3.20	3.43	3.20
2	1.58	1.56	1.32	1.50	1.06	2.75
3	4.25	4.25	4.15	4.12	4.05	3.65
Client X						
Section 1	3.17	3.38	3.12	3.12	3.00	1.88
2	1.38	1.43	1.42	1.42	1.30	1.20
3	3.75	3.75	3.50	3.58	3.58	2.95
Client Y						
Section 1	3.25	3.50	3.25	3.30	3.05	2.45
2	1.58	1.62	1.32	1.55	1.28	1.70
3	3.92	3.82	3.75	3.75	3.68	2.35
Client Z						
Section 1	3.85	2.82	2.82	3.78	2.75	1.93
2	1.38	1.21	1.28	1.25	1.25	1.10
3	3.48	3.50	3.40	3.30	2.68	1.85

