

# *Interpersonal Relations*

## PART 1

### Personal Characteristics that Influence or Relate to Interpersonal Behavior

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## INTERPERSONAL RELATIONS

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## INTERPERSONAL RELATIONS

Human beings are social animals. We interact with each other in many contexts—career, business, home and family, spiritual, social, and recreational. Most of our interactions occur because we depend on each other's services, goods, informational inputs, suggestions, attention, affection, and cooperation in order to satisfy basic needs and to attain personal goals. Largely because the complexity of our culture is increasing at an increasing rate, we are becoming increasingly dependent on each other. This increasing interdependence requires more functional interpersonal behavior than ever before.

How we behave toward others is extremely complex. There are many ways in which we can interact or relate with others. Why we behave toward others as we do is even more complex. There are countless factors that can be causing or at least influencing behavior in any given situation. The more we are aware of, think about, and deal with all the complexities involved, the better we can interact with others and carry on our relationships. In this four-part book, we discuss the complexities of interpersonal relations in considerable detail.

These two parts review various frames of reference for understanding ourselves, others, and our relationships with others. Each frame of reference provides a different perspective on interpersonal relations, because each looks at people's characteristics and interpersonal behavior patterns from a slightly different angle or within a slightly different context. The four parts also review principles of interpersonal behavior that are based on various experts' insights into human relations. In addition, they discuss various interpersonal skills that can help individuals establish and maintain more effective relationships. We discuss all these perspectives, principles, and skills in order to help individuals do the following: (a) take a more in-depth look at themselves; (b) determine how they are behaving interpersonally; (c) recognize why; (d) take an in-depth look at those with whom they interact; (e) determine how they are behaving—and why; (f) identify how they themselves might behave more functionally; and (g) further develop their interpersonal capabilities. In other words, these four parts are aimed at helping people get along well together.

Parts I and II expand on frames of reference for understanding human behavior that are presented in the segment of the series entitled *The Individual: A System of Characteristics*. They have been written to help individuals gain greater insight into themselves, others, and their relationships with others.

Part I is entitled “Personal Characteristics that Influence or

Relate to Interpersonal Behavior.” Its three sections describe and discuss basic attributes that underlie or influence an individual's social behavior:

1. personal characteristics that either motivate, enable, or otherwise relate to interpersonal behavior;
2. key dimensions of interpersonal orientations;
3. ego states and their associated life positions; and
4. several typologies concerning types of people.

Part II is entitled “Patterns of Interpersonal Behavior.” Its four sections describe and discuss complex interpersonal phenomena (which are influenced by the attributes of individuals involved):

1. dynamics of the formation, development, and maintenance of relationships;
2. interpersonal behavior in groups; and
3. basic interpersonal styles.

The importance of all these perspectives, principles, and skills cannot be overemphasized. More functional interactions and relationships are desirable with respect to all our interpersonal roles. For example: Better husband/wife relationships contribute to better family relationships. So do better parent/child relationships, which also contribute to the development of more functional social attitudes and behavior in successive generations. In turn, better family relationships help make our lives more meaningful and fulfilling, strengthen our culture, and stabilize our society. Similarly, better co-worker and boss/subordinate relationships on the job make work more fulfilling and improve teamwork and productivity.

What can make these and other relationships better? More functional interpersonal behavior on all our parts. What can we do to interact more effectively with others? Develop and apply all of the following:

- \* a better understanding of ourselves and others;
- \* deeper insights into our social interactions and relationships;
- \* a greater sensitivity to others' needs and feelings;
- \* a greater love of and concern for others;
- \* more effective communicative skills;
- \* and improved skills for solving interpersonal problems.

Developing and applying these inputs to more effective social interaction can help us do all the following:

- a. get along better together;

- b. cope more successfully with our lives and environments;
- c. fulfill our own and others' needs more adequately; and
- d. increase our own and others' attainment of goals.

In other words, it can help to make the world go around in a more orderly, congenial, pleasant, and fulfilling manner.

## PART I

### **Personal Characteristics that Influence or Relate to Interpersonal Behavior**

This part is divided into four sections.

Section 1 discusses the various personal characteristics that either motivate, enable, describe, or otherwise relate to an individual's interpersonal behavior. It includes a model that we have developed to help us describe, analyze, and explain people's behavior. This model, which synthesizes numerous theories about human motivation and behavior, can be used to show cause and effect relationships among the following: (a) various categories of personal traits; (b) specific traits in the various categories; and (c) the many environmental factors or forces that can influence an individual's characteristics, attitudes, and behavior.

Sections 2 through 4 describe several very basic interpersonal phenomena that exert significant influences on an individual's interpersonal behavior. These phenomena are related to the specific characteristics discussed in Section 1.

Section 2 also describes various "dimensions" of individuals' interpersonal orientations, and discusses them in terms of related characteristics.

Section 3 describes various "ego states" and their associated "life positions." In addition to discussing these phenomena in

terms of related personal characteristics, it explains certain relationships between the socialization process and the development of various interpersonal attitudes and behavioral tendencies.

Section 4 describes various "types of people" and discusses them in terms of ego states, life positions, and levels of specific characteristics.

The specific personal traits mentioned in these four sections are defined and described in detail in another segment of this series. That segment, entitled *The Individual: A System of Characteristics*, should be read before this one. Assuming that it has been, and that the reader will not need such detailed definitions here, we have simply included **Table A** (pages 4 through 7) for convenient reference. Table A provides an abbreviated definition for each characteristic and indicates related traits or behavior patterns. The traits we will be discussing, and various relationships among them, are also indicated in **Figure 1** (page 8). Figure 1 is the behavior model mentioned above. It, too, is fully explained in the segment of the series entitled *The Individual*.

**Table A: Descriptions of Task- and People-Related Characteristics**

<b>CAPABILITIES</b>		RELATED TRAITS/BEHAVIOR (other traits or behavior to which characteristic either relates or contributes)
<b>BASIC MENTAL AND PHYSICAL CAPABILITIES</b>		
<b>Academic Intelligence</b>	Basically, the ability that enables one to understand, learn, and think about things of a visual, verbal, or abstract nature. One who is low in this ability tends to understand and think about things in very concrete, specific, factual, or visually-oriented terms. One who is high can also understand, learn, and think in terms of more complex, verbally-oriented constructs such as ideas and concepts, and in terms of abstract constructs such as numbers and symbols. [Tests measure vocabulary and visual, verbal, and abstract (numerical) logic.]	Judgment; Social insight; Communicative skills; Imagination; Creativity; Analytic, goal-setting, planning, problem-solving, and decision-making abilities; Abilities to learn, grow, and cope with change
<b>Social Insight (Social Intelligence)</b>	The ability to understand and judge social behavior and to respond with understanding and tact in interpersonal situations. The level of this ability is influenced by one's level of intelligence and maturity and by the amount of social interaction that one has experienced.	Social maturity; Mature relations; People sense; Interpersonal awareness and sensitivity; Functional social behavior
<b>Communicative Skills</b>	These include verbal abilities (thought and speech) for expressing information and ideas in oral or written form, and non-verbal abilities involved in communicating feelings, thoughts, and attitudes without using words (e.g., through gestures, tone of voice, and facial expressions).	Persuasiveness; Interpersonal relations; Interpersonal effectiveness
<b>Health/Energy</b>	The vitality, strength, and energy to be alert and active on the job.	Industriousness; Activity; Stamina
<b>SPECIALIZED MENTAL ABILITIES</b>		
<b>Mechanical Visualization (Spatial Thinking)</b>	The ability that enables one to visualize and to manipulate objects, parts of objects, or other visual arrangements in space. Influences one's mechanical comprehension.	The specialized mental abilities described here may or may not be involved in the technical, functional, or professional aspects of one's job. When they are involved, they influence one's technical, functional, or professional competence, efficiency, and effectiveness.
<b>Mechanical Comprehension (Mechanical Intelligence)</b>	The ability to comprehend and solve mechanical types of problems. Level of ability is influenced by one's capacity for mechanical visualization, knowledge of mechanical principles, and experience working with mechanical objects or applying mechanical principles.	
<b>Clerical (Perceptual) Speed and Accuracy</b>	The ability to work quickly and accurately with details (to shift the focus of attention from one word, number, or graphic symbol to another quickly and accurately). Not to be confused with secretarial skills such as typing and shorthand.	
<b>OTHER SPECIALIZED SKILLS</b>		
	Skills (other than the specialized mental abilities described above) that relate to the technical, functional, or professional aspects of one's job (e.g., the ability to operate a certain machine or type of equipment, or the ability to perform certain operations on data or information).	Technical, functional, or professional competence, efficiency, and effectiveness; Ability to develop these specialized skills in subordinates
<b>KNOWLEDGE FACTORS</b>		
<b>Management Concepts, Methods, Practices</b>	Concepts, principles, methods, and procedures involved in integrative (managerial) activities such as analyzing, goal-setting, planning, budgeting, decision-making, organizing, staffing, providing guidance, evaluating results, and problem-solving.	Integrative competence, efficiency, and effectiveness; Ability to cope with and influence change; Ability to develop subordinates' managerial skills
<b>Team Concepts and Practices</b>	Participative, developmental, task- and people-oriented practices that develop and utilize subordinates' potentials, take account of their needs and feelings, and maximize their performance and on-the-job fulfillment, motivation, and morale	Integrative competence, efficiency, and effectiveness; Ability to obtain the best possible task- and people-related results; Ability to develop subordinates' potentials
<b>Job-Related Data and Information</b>	Information relating to these and other integrative and technical, functional, or professional aspects of one's job: job objectives and responsibilities; capabilities, and other traits required by the job; organizational objectives, policies, and procedures; the unit's and organization's operating plans and budgets; and other related types of information or data.	Integrative and technical, functional, or professional competence, efficiency, effectiveness; Ability to develop personal potentials; Ability to develop subordinates' potentials

		<b>RELATED TRAITS/BEHAVIOR</b>
<b>Job Experience</b>	Everything learned on the job, especially a knowledge or "feel" for what can, should, or might happen under various circumstances or when various courses of action are taken.	Judgment; Ability to assess probabilities; Analytic, goal-setting, planning, problem-solving, and decision-making effectiveness; Technical, functional, professional competence, efficiency, and effectiveness; Ability to cope with and influence change; Ability to develop subordinates' potentials
<b>Subordinates' Jobs</b>	Job-related information (as above) pertaining to subordinates' jobs. Includes a knowledge of the characteristics required and the standards of performance that can reasonably be expected.	Integrative competence (efficiency, effectiveness); Ability to select, train, develop and evaluate subordinates effectively
<b>Subordinates' Characteristics</b>	Awareness of each (immediate) subordinate's capabilities, motive/attitudinal traits, attitudes, potentials, strengths, and weaknesses.	Interpersonal Sensitivity & Understanding; Effectiveness of goal-setting, planning, training, development, evaluation, conflict resolution, and problem-solving activities

### **MOTIVE / ATTITUDINAL TRAITS**

#### **BASIC NEEDS / DRIVES<sup>a</sup>**

<b>Physiological Needs</b>	The needs for food and water, sex, rest, exercise, and shelter from the elements, and the needs to excrete waste and to minimize pain. Self-preservation needs.	
<b>Safety Needs</b>	The needs for protection against physical harm or attack, danger, illness, and deprivation.	
<b>Social Needs</b>	The needs to affiliate with others, to obtain their approval or acceptance, to belong, and to give and receive friendship and love.	Sociability
<b>Ego Needs (Self-Image)</b>	The needs for self-esteem, self-confidence, an identity, independence, power, influence over others, personal achievement, knowledge, competence, a good reputation, status, prestige, recognition, and others' admiration.	Self-confidence; Personal pride; Ambition; Achievement value; Self-centeredness; Dominance; Sociability; Economic & Political values; Self-awareness vs. Ego-detensiveness; Ability to develop/improve oneself
<b>Self-Actualization</b>	The needs to fulfill one's potentials, to become what one can become, and to develop oneself to the fullest.	Ambition; Achievement; Personal development and improvement

#### **VALUED MATTERS<sup>b</sup>**

<b>Intellectual (Theoretical) Value</b>	Concerns for truth, knowledge, and study, which underlie tendencies to utilize intellectual capacities, to be analytic, to search for causes, and to structure knowledge.	Rationality/objectivity; Judgment; Innovativeness; Original thinking; Depth of thought; Inclination to learn; Inclination to solve problems
<b>Economic (Business) Value</b>	Concerns for monetary matters, material things, the usefulness or practicality of things, and business or financial success.	Practical-mindedness; Cost-consciousness; Competitiveness; Ambition (success consciousness); Concern for task results and operational efficiency
<b>Political Value</b>	Concerns for power, prestige, position, authority, and influence over others. The "Need for Power."	Dominance (Self-assertiveness); Leadership value; Ambition; Competitiveness; Respect for authority
<b>Social (Altruistic) Value</b>	Concerns for people's well-being, social justice, and the public good. Love of, and concern for, people. Altruism. Social morality and ethics.	Self-sacrifice; Selflessness; Benevolence; Social maturity; Social conscientiousness
<b>Religious (Spiritual) Value</b>	Concerns for spiritual truth, religious experiences, religious beliefs, and religious activities. Also, concern with moral ethics espoused by religious groups.	Interpersonal morality; Benevolence; Social conscientiousness; Responsibility
<b>Aesthetic (Artistic) Value</b>	Concerns for beauty, harmony, grace, symmetry of form, and other aesthetically pleasing qualities in one's experiences (even though one may not be an artist).	

<sup>a</sup> From the Maslow "Hierarchy of Needs": Abraham H. Maslow, *Motivation and Personality* (New York: Harper & Row, 1964).

<sup>b</sup> From psychological measurement instrument - G. Allport, P. Vernon, and G. Lindzey, *Study of Values* (Boston: Houghton-Mifflin, 1960).

## RELATED TRAITS/BEHAVIOR

**COPING VALUES<sup>c</sup>**

<b>Practical-Mindedness</b>	Concern for getting one's money worth (for getting full use or value from something or someone). Related to the Economic Value.	Cost-consciousness; Practicality; Concern for task-related results and operational efficiency
<b>Goal-Orientedness</b>	Tendencies to work toward definite objectives, to persevere until a job is completed, and to think ahead to the future consequences of one's actions.	Persistence; Responsibility; Ambition; Future-orientedness; Judgment in decision making
<b>Achievement</b>	Concern for accomplishing something significant, which underlies tendencies to set personal standards high, to seek challenges, and to try to do something better than it has ever been done before. The "need to achieve."	Initiative; Industriousness; Innovativeness
<b>Orderliness</b>	Concerns for having well-organized work habits, doing things in a systematic manner, and keeping things arranged in an orderly manner.	Organization; Effectiveness of approach to integrative matters
<b>Decisiveness</b>	Tendencies to make decisions quickly, to stick to them, and to hold strong convictions or opinions.	
<b>Variety</b>	Tendencies to pursue new and different activities, to travel to strange or unusual places, to shun the routine, and to seek adventure, risk, and danger.	Risk-taking

**INTERPERSONAL VALUES<sup>d</sup>**

<b>Leadership</b>	Concern for having a position of leadership or authority (for being in charge of, or having influence over, others). Related to the Political Value and the "need for power."	Dominance (Self-assertiveness); Competitiveness; Ambition; Forcefulness
<b>Recognition</b>	Concerns for attracting notice and being admired, looked up to, respected, and considered important.	Ego needs; Self-assertiveness; Success-orientedness
<b>Benevolence</b>	Concerns for helping others, sharing things with them, doing things for them, and being generous to them.	Interpersonal sensitivity and attentiveness; Social conscientiousness; Selflessness; Kindness; Concern for People; Social maturity
<b>Support</b>	The desire or need to be treated with kindness, understanding, and consideration, and to receive encouragement from others.	
<b>Conformity</b>	Concern about doing what is expected, accepted, proper, or socially correct, which underlies a tendency to follow rules, policies, regulations, and group norms closely.	(Can be dysfunctional trait if behavior patterns to which conforming are somehow inappropriate.)
<b>Independence</b>	Tendencies to be self-sufficient, to resist restriction, to do things for oneself, to make one's own decisions, to do what one wants, and to do things one's own way.	

**PERSONALITY TRAITS<sup>e</sup>**

<b>Vigor</b>	Tendencies to be active, energetic, and full of vitality and to maintain a lively, rapid pace when working, moving, or speaking.	Industriousness
<b>Self-Confidence</b>	Tendencies to be poised, confident, self-assured, well-adjusted, and free of self-consciousness, feelings of inferiority, and excessive self-criticism.	Self-assertiveness; Decisiveness; Sociability (Social extroversion); Original thinking; Leadership;
<b>Dominance (Ascendancy or Self-Assertiveness)</b>	Tendencies to be self-assured, self-assertive, verbally assertive, extroverted, and aggressive (to take the initiative in dealing with people, to dominate conversations, to make independent decisions, to assume authority, or group leadership, to influence or persuade others, to organize social activities, and to promote new projects). Related to the Political and Leadership Values.	Forcefulness; Aggressiveness; Leadership; Self-centeredness; Ego needs/drives; Control of situations; Active participation in activities; Emotional stability
<b>Sociability</b>	Tendencies to be gregarious, outgoing, and genuinely interested in interpersonal contact (to seek and enjoy people's company, to mix well with people, and to make friends easily).	Friendliness; Congeniality; Social needs; Ego needs; Gravitation toward social groups

c From psychological instrument - Leonard V. Gordon, *Survey of Personal Values* (Chicago: Science Research Assoc., 1967).

d From psychological instrument - Leonard V. Gordon, *Survey of Interpersonal Values* (Chicago: Science Research Assoc., 1960).

e See next page.

RELATED TRAITS/BEHAVIOR	
<b>Social Consciousness</b>	Tendencies to demonstrate high ethical and moral standards in interpersonal relationships, to submerge the satisfaction of one's own drives and motives for the sake of others' feelings and well-being, and to be unselfish, concerned for others, considerate, and loyal.
<b>Adaptability</b>	Tendencies to have a healthy self-image, to think honestly and realistically about oneself, others, and the environment, not to be a perfectionist, to get along in situations that are not exactly the way one thinks they should be, to tolerate ambiguity, to adjust easily to changing or uncertain circumstances, not to be self-righteous, to give and take, to be a good compromiser, and not to be arrogant, critical and suspicious of others, or antagonistic toward others.
<b>Social Maturity (Mature Personal Relations)</b>	Tendencies to be concerned about others' feelings and well-being, to suppress self-interests for others' sakes, to be considerate of others, to give and take, to speak well of others, and to be cooperative, agreeable, understanding, helpful, trusting, patient, loyal, and tolerant. A combination of social conscientiousness and adaptability.
<b>Responsibility</b>	Tendencies to have high ethical and moral standards regarding work (and similar responsibilities not of a social nature), to be conscientious in one's work, to see a difficult job through to its completion, and to be determined, persistent, persevering, thorough, and reliable.
<b>Original Thinking</b>	Tendencies to be meditative, thoughtful, intellectually curious, reflective, and analytical and to work on difficult problems, to spend time thinking about ideas especially new ideas), and to join thought-provoking discussions. Related to the Intellectual Value.
<b>Emotional Stability</b>	Tendencies to have an even disposition, not to experience "emotional peaks and valleys,' to be able to relax easily, to be free of worries, tensions, anxieties, and fears, to be calm, serene, and well-balanced, and not to be easily distracted or irritated by noise and interruptions when concentrating on something.
<b>Self-Control (Cautiousness)</b>	Tendencies to be cautious, careful, self-disciplined, self-restrained, and self-restricting, to think before acting, not to make spur-of-the-moment decisions, not to seek excitement or to take chances, not to be happy-go-lucky, not to be impulsive, not to be excessively competitive or aggressive, and not to look out only for oneself.

e From various personality measurement instruments, including:

Bernreuter / Humm-Wadsworth

Gough, Harrison G., California Psychological Inventory (CPI) (Great Britain: Consulting Psychologists Press, 1956).

Gordon, Leonard V., Gordon Personal Inventory (New York: Harcourt, Brace & World, 1963).

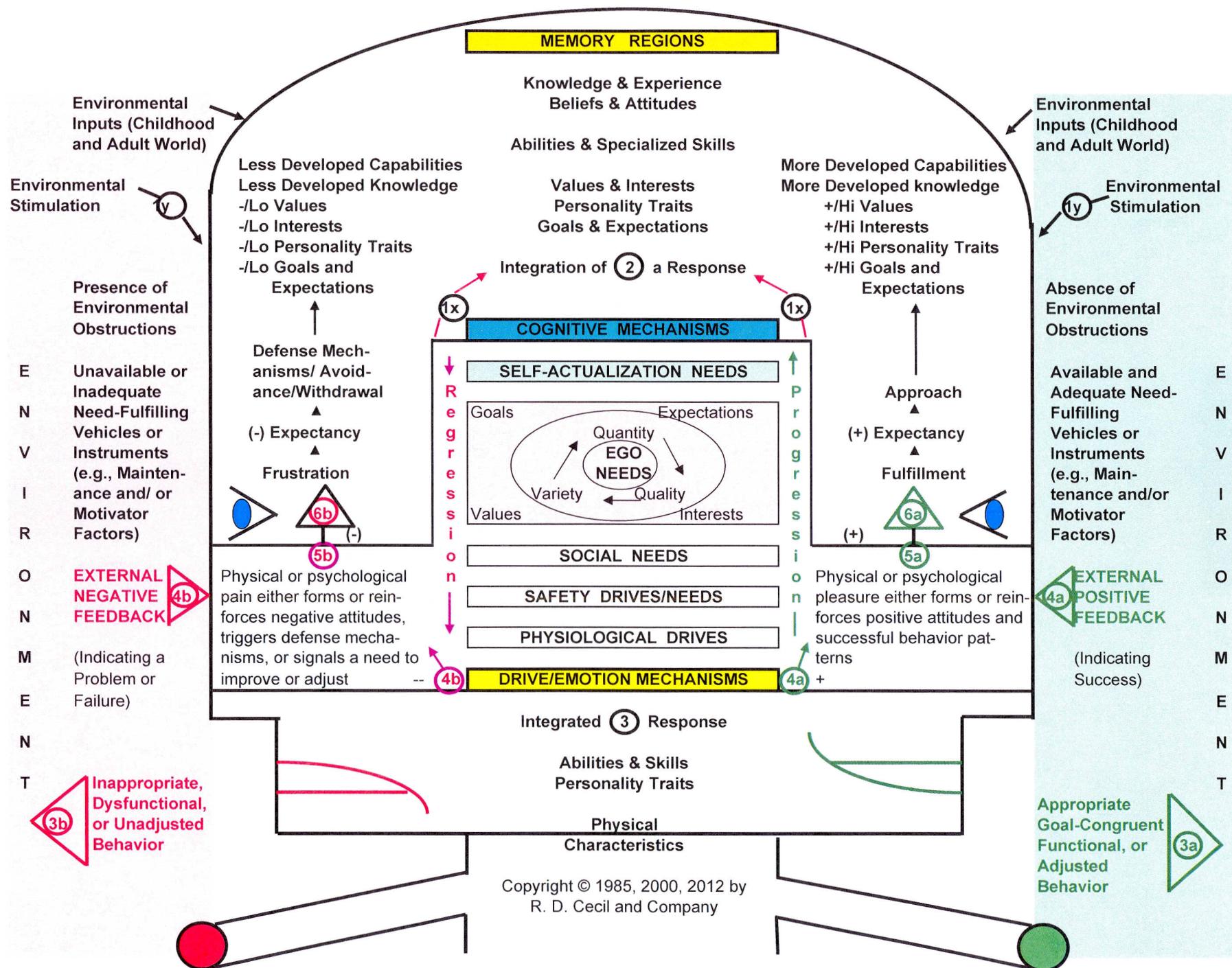
Guilford / Zimmerman

Sixteen Personality Factor Questionnaire (SPFQ) (Champaign, Illinois: Institute for Personality and Ability Testing, 1972).

Thurstone, L.L., Thurstone Temperament Schedule (Chicago: Science Research Assoc., 1953).

Triadal Equated Personality Inventory (TEPI) (Munster, Indiana: United Consultant / Psychometric Affiliates).

**Figure 1: Synthesized Model of Personal and External Factors That Influence Motivation and Behavior**



## SECTION 1

### **Specific Characteristics and Their Relationships to Interpersonal Behavior**

#### **Basic Motivation to Relate with Individuals and Groups**

##### **Satisfaction of Basic Needs/Drives**

Several frames of reference can be used to explain people's basic motivation for interacting or relating with each other. One is the "Hierarchy of Needs," a well-known model developed by Abraham Maslow.<sup>1</sup> It deals with physiological needs, safety needs, social needs, ego needs, and self-actualization needs. These "basic needs/drives" are defined in **Table A** on pages 4 through 7. Another well-known frame of reference concerning basic needs was developed by David C. McClelland.<sup>2</sup> It deals with the needs for affiliation, power, and achievement—all of which can be associated with certain needs on Maslow's Hierarchy.

##### **Social Needs**

The most obvious basic needs underlying people's formation and maintenance of relationships are Maslow's "social needs"—the needs to associate with others, to obtain their approval or acceptance, to belong, and to give and receive friendship or love. McClelland's "need for affiliation" can be equated with these needs. Such needs can only be satisfied through interpersonal (social) interactions and relationships.

People normally gravitate toward individuals and groups with whom they share (or think they share) characteristics that are more or less important to both. Having something in common with other people is important to us. It gives us a warm feeling and a sense of security to be able to say the following: "I'm not different; I'm like you. Because we have certain things in common, we're not a threat to each other. We should be able to relate to each other, like each other, get along together, and give each other the attention, affection, and positive strokes we both need."

##### **Physiological Needs**

We all have physiological needs for food, water, sex, excretion, rest, sensory stimulation, and the minimization of pain. These are often called "self-preservation needs" as well as "physiological needs."

Since we in our society have specialized roles or occupations and cannot provide all things for ourselves, we are dependent on each other in some way and to some degree to help us fulfill physiological needs. These interdependencies, which are particularly evident in urban areas, almost always require interaction with other people. For example: To eat, most of us must interact with either farmers, clerks in grocery stores, restaurant personnel, and/or those family members who prepare our meals. To minimize pain, we often interact with doctors, nurses, pharmacists, and other people in the health care field. To fulfill sexual needs, we interact with another individual.

Thus, even though our physiological needs are not as "socially motivating" as social needs, they can still underlie our motivation to interact with other people. The same can be said about safety needs.

##### **Safety Needs**

We also have needs for protection from physical harm, danger, attack, illness, and deprivation. As a result, we often group together in tribes, clans, small communities, and neighborhoods for mutual protection. We are all familiar with the old saying, "There is safety in numbers."

##### **Ego Needs**

Maslow identified two types of ego needs. Self-esteem needs are the needs for an identity or self-image, knowledge, competence, self-confidence, independence, achievement, self-respect, and power or influence. McClelland's "need for power" and "need for achievement" can be associated with this group of ego needs. Reputation needs are the needs for status, recognition, prestige, and others' respect and admiration.

In general, we are motivated to form one-on-one and group relationships largely in order to reinforce, enhance, or protect our own ego/self-image. Why? Because, for the most part, we are who we are relative to other people. Interactions and relationships with individuals and social groups are essentially vehicles that enable us to compare ourselves with others and to form and then maintain our self-images or identities.

Individuals do not ordinarily seek membership in a group unless they more or less expect to derive an identity and status that is fairly compatible with their existing self-image. Consequently, when members of a group demonstrate acceptance of an individual into the group, their positive reactions tend to reinforce the individual's self-image. This is obviously ego-serving.

Individuals can derive a feeling of importance through membership in a group. How a group perceives an individual's characteristics will partly affect his or her status within the group.

One particular person might want to be "a big fish in a small pond." Such a person would seek relatively high, ego-serving status in a group. On the other hand, another person might settle for being "a small fish in a big pond." In this case, status in the group may be relatively low, but the individual could be attempting to associate with (and become identified with) those who are perceived as being superior in some respect, as having greater status, or as having a better reputation than people outside the group. "Identifying" with certain people, therefore, can also be ego-serving.

Many individuals join groups because groups provide opportunities to assert oneself over others and to influence if not dominate others. The underlying, ego-related motives being fulfilled in such cases are likely to be the need for power and the need to reinforce one's self-image.

People often join groups in order to increase their ability to influence if not control the attitudes and behavior of other individuals and groups. The old saying that applies here is, "United we stand, divided we fall."

Joining one or more groups has other ego-related benefits. Being accepted into a group helps us to feel "socially secure" and increases our emotional stability. Once established in a group, we need not approach new groups with the fear of not being accepted. Put another way, we need not continually experience the anxiety that accompanies conflicting motives to approach and avoid. (Approach-Avoidance conflicts exist when we do not know whether the situation will be ego-enhancing and pleasurable or ego-threatening and psychologically painful).

For most people, some degree of ego fulfillment occurs as a result of interaction with other people. Unfortunately, our egos are like a two-edged sword. On the positive side, they are largely responsible for our formation of relationships and for our initiative, hard work, creativity, and pride in our accomplishments. On the negative side, however, they are also responsible for most of our interpersonal problems, many of which have implications for societal and international prob-

lems. The reason is very basic to human nature: We often enhance our own egos or self-images by putting others down in order to "put ourselves up"—that is, to make ourselves feel more OK or superior in some respect relative to those with whom we have contact. We will discuss this phenomenon within several contexts in Parts I and II.

### **Self-Actualization Needs**

According to Maslow and others, we also have the needs (either active or latent) for developing our potentials to the fullest and for becoming what we have the potential to become. To develop our potentials to the fullest, we must learn, be taught, be shown, and be guided by parents, husbands, wives, religious leaders, friends, coaches, mentors, bosses, subordinates, co-workers, customers, suppliers, professionals in various fields, and others. To become what we have the potential to become, we need the assistance and support of many of the same people. (Similarly, without the help of others, few can accomplish what they have the potential to accomplish). Being taught, guided, and helped all require various types of interpersonal interactions.

Some people form one-on-one relationships and join social groups in order to develop their interpersonal skills. Regardless of whether or not they are actually motivated by the need for self-actualization, membership in a social group does contribute to the development of knowledge and skills involved in understanding and judging social behavior, communicating with others, and dealing with interpersonal conflicts.

As shown above, then, we all depend on other people—either individually or in groups—for satisfaction of basic needs and attainment of personal goals (which revolve around basic needs and various need-related values).

### **Need-Related Psychological Phenomena**

#### **What People Fear**

When we ask students and seminar participants what they and other people fear, we usually receive very similar responses.

Fears that revolve around physiological and safety needs include:

- a. becoming seriously ill;
- b. being physically harmed;
- c. the "unknown" (unknown dangers);

- d. losing a job (and the steady income that allows one to provide for personal and family needs); and
- e. death.

Fears that revolve around social and ego needs include:

- a. not being liked or loved;
- b. being avoided or “left out”;
- c. being embarrassed or “losing face” (e.g., appearing to be incompetent, weak, or wrong; losing one’s status in a group; losing one’s reputation; losing one’s job; not being the person promoted; and having other people witness one’s weaknesses or transgressions);
- d. the unknown (e.g., not knowing what another person expects of one; not knowing how someone really feels about one; and not knowing what is going on that might affect one);
- e. not being able to influence what is happening to one; and
- f. being psychologically hurt by someone.

### **What Hurts People Psychologically**

When we ask students and seminar participants what others could do to hurt them psychologically, we receive many of the responses listed in the left-hand column of Table B (next page).

These behaviors (behavior patterns) are all forms of negative feedback, which are also called “aversive stimuli,” “negative strokes,” and “cold pricklies.” They tend to diminish one’s self-esteem and sense of personal worth, thereby negatively affecting and arousing one particular group of basic needs—ego needs.

With reference to **Figure 1** (page 8), such behaviors are examples of the negative feedback that the left side of the head could be experiencing.

Negative feedback tends to result when an individual (a) integrates a response based on inappropriate attitudes or incomplete knowledge, (b) uses an underdeveloped ability, or (c) otherwise behaves inappropriately or dysfunctionally when interacting with the environment. It can also result when behavior is appropriate, but (a) environmental obstructions are present, and/or (b) need-fulfilling vehicles/instruments are either absent or inadequate.

As shown in Figure 1, experiencing negative feedback generates physical and/or psychological pain in emotion centers of the brain. Examples of psychologically painful emotions are embarrassment, hurt, frustration, discouragement,

and anxiety. In turn, pain—particularly psychological pain—can . . .

- a. wound one’s ego;
- b. generate internal conflict;
- c. create negative expectancy that engaging in the activity or situation in the future will elicit satisfying feedback;
- d. not reinforce the behavior pattern just used;
- e. signal that the behavior pattern used must be adjusted, modified, or further developed; and
- f. activate ego-defense mechanisms.

Some people maintain that individuals do not have the power to hurt us psychologically. They believe that we “let ourselves be hurt.” In some respects this may be true. In our view, we “let ourselves be hurt” by not growing and maturing, by not developing a healthy self-image and becoming more self-actualizing, and by continuing to operate at the ego need level, where we can be hurt and do tend to utilize ego defense mechanisms. However, since most of us do operate at the ego rather than self-actualization level, other people do have the power to hurt us. In effect, we give them this power “by default.”

### **Ego Defense Mechanisms**

When most of us experience negative feedback, we use various psychological defense mechanisms to protect our egos (identities/self-images) and keep them from being hurt. These ego defense mechanisms include the following:

**Suppression:** Attempting to hide a personal weakness or failure from others, and/or, trying to keep others from finding out that one has made a mistake or has caused a problem.

**Denial:** Denying—either to oneself or others—that one has made a mistake, has a problem, or has caused a problem.

**Projection:** Blaming others (instead of oneself) for a mistake or problem, and/or, attributing to others the same weaknesses and shortcomings that one finds in oneself.

These first three defense mechanisms constitute our “first line of defense” against negative feedback. The following nine mechanisms constitute our “second line of defense.” They come into play when other people have found out our weaknesses, mistakes, wrongs, or problems, and it is clear that we (a) cannot deny them, (b) cannot shift the blame to someone else, and (c) must deal with the psycho-emotional

**Table B: What Hurts People and What Makes Them Feel Good**

WHAT HURTS PEOPLE (Negative feedback; aversive stimuli; negative strokes; "cold pricklies")	WHAT MAKES PEOPLE FEEL GOOD (Positive feedback; positive strokes; reinforcers; "warm fuzzies")
<p>1. Not being liked</p> <p>2. Not being understood/accepted</p> <p>3. Not receiving approval/affection</p> <p>4. Not being respected</p> <p>5. Not being trusted</p> <p>6. Not being included/involved</p> <p>7. Not being allowed to express self</p> <p>8. Not being listened to</p> <p>9. Having ideas/opinions questioned, disbelieved, argued with, or rejected</p> <p>10. Being treated coldly/impersonally</p> <p>11. Being treated discourteously</p> <p>12. Not being given time and/or attention</p> <p>13. Being ignored (presence not acknowledged)</p> <p>14. Being avoided</p> <p>15. Being rejected/scorned</p> <p>16. Receiving insincere flattery</p> <p>17. Being criticized</p> <p>18. Being blamed (and/or made to feel guilty)</p> <p>19. Not having efforts acknowledged</p> <p>20. Not being thanked</p> <p>21. Being teased, poked fun at</p> <p>22. Being treated contemptuously/disdainfully (insulted, called names, subject of sarcasm)</p> <p>23. Being reprimanded/punished (for making a mistake or causing a problem)</p> <p>24. Being reminded of past mistakes</p> <p>25. Having weaknesses pointed out or emphasized</p> <p>26. Having strengths unacknowledged, ridiculed</p> <p>27. Being "put on" (made to look foolish)</p> <p>28. Being lied to</p> <p>29. Being deceived, cheated, taken, conned</p> <p>30. Being manipulated or used</p> <p>31. Being intimidated/threatened</p> <p>32. Being gossiped about</p> <p>33. Having a promise broken</p> <p>34. Being betrayed</p> <p>35. Not being supported or backed up</p> <p>36. Being stereotyped</p> <p>37. Being condescended to</p> <p>38. Being subject of double standard</p> <p>39. Being physically mistreated/abused</p> <p>40. Not being given privacy</p> <p>41. Having possessions mistreated/damaged/stolen</p> <p>42. Not having status or role conferred</p> <p>43. Not having status or role acknowledged</p> <p>44. Having status decreased or withdrawn</p> <p>45. Having role withdrawn</p> <p>46. Being ostracized (from a group)</p> <p>47. Being excessively directed (by a superior)</p> <p>48. Being helped</p> <p>49. Not being informed (told what is going on)</p> <p>50. Not being given cooperation</p> <p>51. Being the subject of revenge</p> <p>52. Having the above done to loved ones</p>	<p>1. Being liked, shown friendship</p> <p>2. Being understood/appreciated/accepted</p> <p>3. Receiving approval/affection</p> <p>4. Being shown respect</p> <p>5. Being shown trust/confidence</p> <p>6. Being included, invited to participate</p> <p>7. Being allowed to express thoughts/feelings</p> <p>8. Being listened to</p> <p>9. Having ideas/opinions acknowledged, accepted, and fairly considered (if not agreed with)</p> <p>10. Being treated warmly and considerately</p> <p>11. Being treated with respect/courtesy</p> <p>12. Being given time and attention</p> <p>13. Having presence acknowledged; shown attention</p> <p>14. Being sought out and/or approached</p> <p>15. Being approved of and accepted</p> <p>16. Receiving sincere compliment</p> <p>17. Being praised, recognized, complimented</p> <p>18. Not being blamed; having mistakes understood</p> <p>19. Having efforts acknowledged/appreciated</p> <p>20. Being thanked; having act reciprocated</p> <p>21. Being shown sensitivity/respect</p> <p>22. Receiving deference/respect/consideration</p> <p>23. Having mistakes/problems discussed honestly, tactfully, and constructively</p> <p>24. Having mistakes forgiven and forgotten</p> <p>25. Having weaknesses accepted/tolerated/excused</p> <p>26. Having strengths acknowledged, emphasized</p> <p>27. Being made to look competent, sensible</p> <p>28. Being told the truth</p> <p>29. Being dealt with honestly and fairly</p> <p>30. Being treated interdependently/trustworthily</p> <p>31. Being treated conscientiously/unthreateningly</p> <p>32. Being spoken well of (behind one's back)</p> <p>33. Having promises (to one) kept</p> <p>34. Being shown loyalty; having confidences kept</p> <p>35. Being supported or backed up</p> <p>36. Having individuality acknowledged/accepted</p> <p>37. Being treated as an equal</p> <p>38. Being treated equally, justly, and fairly</p> <p>39. Being made physically comfortable/secure</p> <p>40. Being given privacy (personal time and space)</p> <p>41. Having possessions treated considerately</p> <p>42. Having status or role conferred</p> <p>43. Having status or role acknowledged</p> <p>44. Having status increased or (re)conferred</p> <p>45. Having role (re)conferred</p> <p>46. Being accepted into or reinstated by group</p> <p>47. Being instructed, supported, guided</p> <p>48. Being asked for help or guidance</p> <p>49. Being kept informed ("in on things")</p> <p>50. Being given cooperation/assistance</p> <p>51. Being forgiven</p> <p>52. Having loved ones treated with respect/kindness</p>

consequences within ourselves.

**Rationalization:** Justifying one's shortcomings, mistakes, or problems with "reasons" (excuses) that help keep one's self-image intact.

**Compensation:** Engaging in alternative activities, wherein one is more capable of being successful and generating ego-reinforcing positive feedback.

**Sublimation:** Unconsciously blocking psychologically painful experiences from rising to the level of conscious awareness.

**Repression:** Consciously pushing negative emotions and thoughts out of one's mind.

**Identification:** Identifying with (perhaps by associating with) those who appear more successful, liked, respected, or admired than oneself.

**Fantasy:** Substituting daydreams for reality (i.e., dreamily thinking about things being the way one wishes they could be).

**Regression:** Reverting to behavior patterns involved in more ego-satisfying situations or circumstances of the past (e.g., "regressing to child-like behavior").

**Aggression:** Taking out one's frustration, anxiety, resentment, or anger on other people.

**Undoing:** Trying to "right the wrong," and/or, "doing penance" by causing personal suffering.

In effect, these mechanisms are the shields we use and the armor we wear to protect our egos. For this reason, learning and using these mechanisms has been called "*arming*" by psychologists and sociologists.

Although we tend to use defense mechanisms unconsciously rather than consciously, we all use them. Some individuals use them only occasionally. Others, however, use them frequently. Frequent use can indicate that an individual (a) is experiencing psychologically traumatic problems or situations; (b) is not coping well with the environment and the problems being experienced; (c) is not receiving adequate support and positive feedback from others; (d) has a very unhealthy self-image; and/or (e) may need professional help.

## What Makes People Feel Good Psychologically

As one might expect, the things that make us feel good psychologically are just the opposite of the things that hurt us psychologically. These behaviors are listed in the right-hand column of **Table B**.

The listed behaviors are all forms of positive feedback, which are also called "reinforcers," "positive strokes," and "warm fuzzies." They tend to reinforce or enhance one's self-esteem, sense of personal worth, and sense of having a desirable reputation. Some would also say that they help "validate one's existence." In other words, they reinforce or enhance one's ego.

With reference to **Figure 1**, such behaviors are examples of the positive feedback that the right side of the head could be experiencing.

A person is more likely to be successful and to experience positive feedback when the ability or behavior pattern just used has been appropriate, goal-congruent, adequately developed, or otherwise functional for accomplishing what was intended. This statement assumes, however, that (a) environmental obstructions are not present, and (b) need-fulfilling vehicles/instruments are both present and adequate.

As shown on the right side of Figure 1, experiencing positive feedback generates physical and/or psychological pleasure in emotion centers of the brain. In turn, pleasure tends to:

- build up one's ego (i.e., reinforce or enhance one's identity, self-image, and sense of reputation);
- reinforce positive attitudes toward the activity or situation; and
- reinforce the behavior pattern just used.

## Dysfunctional Ego Enhancement Measures

Once we have established an initial identity or self-image, we not only begin to protect it by using defense mechanisms, but we also begin to enhance and reinforce it. We use various measures to bring about or give ourselves positive feedback.

The following are the negative or dysfunctional measures that many people use. They are aimed at what we call "*self-superiorization*" (self-elevation or self-exaltation). In general, they enhance one's own ego at the expense of other people's feelings and egos. Thus, we believe that their use should be avoided.

**Identifying:** Identifying/associating with those who appear to be more successful, respected, admired, or liked than oneself. (Although this usually does no harm to others, it does not necessarily result in personal development and an improved ability to cope.)

**Criticizing/Ridiculing/Blaming:** “Putting other people down” in order to “put oneself up” (feel superior to others in some respect).

**Dominating/Intimidating:** Using power, authority, or influence in order to control others and feel superior to them (as an authoritarian boss, spouse, or parent might do).

**Creating Dependency:** Causing others to become financially, emotionally, or otherwise dependent on one, so that one can control and feel superior to them.

**Manipulating/Using:** Manipulating, using, or otherwise taking advantage of others in order to feel more powerful, competent, shrewd, or successful than they.

**Unfairly Outcompeting Others:** Becoming more successful than others by deceiving them, obstructing their activities, undermining their efforts, subverting their relationships, or otherwise unfairly putting them at a disadvantage.

**“Getting One Up”:** Acquiring and/or talking about having something more or better than another person has—e.g., a better-paying job, a larger house, a fancier or faster car, a higher score, travel to more places, more knowledge or experience, more skill, more power or influence, a greater number of friends, or more important acquaintances.

**Applying Double Standards:** Applying different standards to oneself and others in order to make oneself come out ahead in some respect.

**Hurting Others:** Consciously or unconsciously hurting people in other ways mentioned in Table B—in order to feel superior to them (less vulnerable than they).

As we will discuss in Parts I and II, using the measures mentioned above causes most if not all interpersonal problems and conflicts.

## Functional Ego Enhancement Measures

We think that there are much more positive and constructive ways to enhance and reinforce one’s ego. Since the following measures generally do little if any harm to others, we believe that they should be emphasized by parents, teachers, organizations, and peers:

**Personal Development:** Acquiring or developing the knowledge, attitudes, and capabilities that enable an individual to (a) cope successfully with life and the environment, (b) become more self-actualized, and (c) behave in a less egocentric (self-centered) manner.

**Association:** Associating with those who (a) can contribute to one’s personal development, and (b) are inclined to be understanding, respectful, helpful, benevolent, and supportive.

**Creative/Innovative Self-Expression:** Expressing one’s thoughts, ideas, or feelings in a constructive, creative, innovative manner; also, “giving birth” to an idea, insight, or concept that, in effect, is “one’s own baby.”

**Planning and Problem-Solving:** Preventing problems through effective planning; confronting them when they do arise, and immediately taking effective steps to solve them (so that they will not get worse, recur, or cause additional problems).

**Striving to Achieve or Succeed (Fairly):** Putting forth maximum effort and using one’s skills to the fullest (in a fair, responsible, non-manipulative manner) in order to be successful or to achieve something worthwhile.

**Behaving Maturity:** Behaving conscientiously, unselfishly, respectfully, benevolently, tolerantly, developmentally, and supportively toward others. (Treating others maturely generates positive, ego-enhancing feedback from others.)

Interpersonal phenomena such as socially-related needs, ego defense and enhancement measures, and positive and negative feedback exert enormous influences on the development and maintenance of interpersonal relationships. Not surprisingly, therefore, we will be referring to them quite often in Parts I and II.

## Motive/Attitudinal Traits and Behavioral Tendencies Related to Interpersonal Behavior

### “Valued Matters”

[Allport/Vernon/Lindzey]

The values measured by the psychological instrument developed by Allport, Vernon, and Lindzey<sup>3</sup> are defined briefly in **Table A** (pages 4 through 7). They include the social (altruistic) value, the economic value, the political value, the intellectual (theoretical) value, the religious value, and the aesthetic (artistic) value.

Each of these six areas of people’s “concerns” can affect how they relate with each other. For example: People who are highest in the economic and/or political values can tend to behave rather selfishly in their relationships with others. On the other hand, those who are highest in the social value tend to behave more unselfishly, benevolently, conscientiously, morally, and ethically toward others.

### Interpersonal Values [Gordon]

Leonard Gordon<sup>4</sup> has developed a frame of reference for describing and explaining types of interpersonal behavior. His psychological instrument measures the following “interpersonal values” (and associated behavioral tendencies): leadership; recognition; benevolence; support; conformity; and independence. These values are also defined in Table A.

Each of these values (concerns) can also affect how people behave toward and relate with others. For example: Those who are highest in “conformity” will tend to behave in the most moral, conscientious, self-controlled manner toward others (assuming that the norms to which they are conforming emphasize functional rather than dysfunctional behavior toward others). Those who are highest in the concern for “leadership” will tend to assume a more self-assertive role in their various relationships with others.

### “Coping Values” [Gordon]

Gordon has also developed a frame of reference that deals with what he calls “personal values.”<sup>5</sup> We are inclined to call them “coping values,” because they involve people’s orientations toward dealing with their lives and environments. These six values, measured on Gordon’s second instrument, are defined in Table A: practical-mindedness, achievement, variety, decisiveness, orderliness, and goal-orientedness.

Although they may do so to a smaller degree and in a more indirect manner than the other values, all of these areas of concerns affect how people behave toward and relate with others, too. For example: Those who are very high in the achievement value can tend to devote less time to interpersonal relationships than do other types of people. On the other hand, those who are high in “variety” may actually seek many new relationships.

## Personality Traits (Behavioral Tendencies)

Different psychologists use different names for personality traits/tendencies. In Table A (pages 4 through 7), we define a number of specific traits identified by Gordon, Thurstone, Guilford/Zimmerman, Bernreuter, Gough, and others.<sup>6</sup> These include: self-confidence, dominance (self-assertiveness), sociability, social conscientiousness, adaptability, social maturity, responsibility, original thinking, emotional stability, and self-control.

As the definitions indicate, each trait involves several finite but related behavioral tendencies that, in some way and to some degree, affect interpersonal relationships. The ways in which high and low levels of these traits can affect relationships positively or functionally should be rather obvious. The ways in which high and low levels can affect relationships negatively or dysfunctionally should also be rather obvious. In Part II, we will discuss how levels of these traits influence broad or general patterns of interpersonal behavior. In Part III, we will discuss how similarities and differences between two individuals’ levels of these traits can be sources of interpersonal conflicts.

## Other Specific Characteristics

Other personal characteristics include physical traits and various people-related capabilities.

## Interpersonal Capabilities

The interpersonal capabilities or skills defined in Table A should also be emphasized: social insight/intelligence (which is influenced to some extent by one’s levels of academic intelligence and social experience); interpersonal sensitivity; communicative skills; and conflict resolution (problem-solving) skills.

While needs/drives, values, and personality tendencies largely influence one’s motivation or inclination to behave

toward others in various ways, these capabilities influence one's ability to behave toward others as one might like to behave. Some individuals have people-oriented motives, but do not have well-developed people-related skills. Others have developed the skills, but are not necessarily motivated to use them.

Social insight, interpersonal sensitivity, communicative skills, conflict resolution skills, and other interpersonal skills will be discussed later.

## **Physical Characteristics**

Facial features, physical build, and other physical characteristics also influence our behavior toward and interactions with others.

Physical characteristics can indirectly influence one's values, personality traits, and interests in the following manner:

Whether we like it or not, our "looks" are often the basis for other people's first (and sometimes lingering) impressions of us. On one hand, we may look trustworthy to one person, be trusted, and be given positive feedback. On the other hand, we may look dishonest to another person, not be trusted, and be given negative feedback. Similarly, because of our facial features, stature, and physical proportions, one person may feel romantically inclined toward us and give us positive feedback, while another may not.

Individuals often detect other people's reactions to their appearance and other physical characteristics. Positive reactions (positive feedback) from others tend to reinforce a positive, healthy self-image. They also tend to reinforce positive attitudes toward others, which, in turn, can be reflected in positive "people-oriented" values, personality traits, and interests. Negative reactions (negative feedback), on the other hand, tend to generate the opposite effects.

## SECTION 2

### **Dimensions of Interpersonal Orientations (and Specific Related Traits)**

Psychologist Charles Seashore<sup>7</sup> has developed a very useful frame of reference for gaining insight into one's own and others' interpersonal behavior. It consists of ten key interpersonal "dimensions": initiative; dependency; self-disclosure; expectations; connection; time-contact; status; resources; emotional range; and conflict.

Before beginning to discuss each dimension, we should mention several points.

First: These dimensions deal with people's general tendencies to behave toward most other people in certain ways. Those who are "high" in a particular dimension will tend to behave one way, while those who are "low" will tend to behave another way (or in the opposite way). As one might expect, however, there can be exceptions to these "general tendencies." The exceptions are usually due to two sets of factors: (a) levels of other dimensions and characteristics, which can also be influencing a person's behavior; and (b) the characteristics, attitudes, and behavior of the other person or persons with whom the individual is interacting.

Second: In order to explain the different levels of these dimensions, we discuss the levels of specific personal characteristics that we think underlie them and can be associated with them. **Table C** (next page) summarizes these general interrelationships among Seashore's interpersonal dimensions and various specific traits. [Since Seashore has not yet developed a test instrument for measuring individuals' levels of the ten dimensions, there are no data available to verify the relationships we have indicated. The table reflects our own views, which are based on definitions of traits, definitions of dimensions, and the Trait Intercorrelation Table found on page 56 of the segment of the series entitled *The Individual: A System of Characteristics*.]

Third: Please note that, in Table C, some trait level boxes are shaded, while others are not. The shaded boxes indicate the levels of specific traits and other dimensions that may cause or be most responsible for the level of the dimension being discussed. The unshaded boxes indicate the levels of specific traits and other dimensions that can usually be associated with the level of the dimension being discussed. Also note that, instead of using the term "ego needs" in the left column, we have used the term "ego level." We think that this distinction is important. Although most people are rather high in ego needs, some have a high ego level (a high or strong

self-image or identity), while others have a low ego level (a low or weak self-image or identity).

Fourth: To gain greater insight into your own interpersonal behavior as you read this section, we recommend that you do the following: After reading about a particular dimension—and the traits and behavior associated with being "high," "low," or "in between"—take some time to identify your level of that dimension. You can do so by making a personal assessment (from "very high" to "very low"). Better yet, if you have taken a battery of psychological measurement instruments in conjunction with covering the segment of the series entitled *The Individual: A System of Characteristics*, compare your scores with the levels of the traits that are associated with being "high," "low," or "medium" in that dimension. We also recommend that you take some time to do several things that will help improve your relationship with someone close to you: (a) assess the other person's level of each dimension; (b) compare your levels; (c) consider the implications of your similarities and differences; and then (d) think about what you might do to "bridge any gaps between you."

#### **Initiative**

Seashore measures this dimension on a continuum that ranges from "active" (high in initiative) to "passive" (low in initiative).

This dimension can be directly associated with a person's level of sociability (level on a continuum between introversion and extroversion). Sociability is largely a function of one's ego level and level of self-confidence, which, in turn, are underlain by one's "sense of personal competence," "sense of self-worth," "sense of psychological well-being," and "sense of social acceptance."

At one end of the continuum, the highly self-confident, sociable *extrovert* tends to be "active" (tends to be outgoing and to approach interpersonal situations). At the other end of the continuum, the *introvert* tends to be "passive" (tends to avoid or withdraw from interpersonal interaction). *Ambiverts* are in the middle of the scale. They can be slightly extroverted in some situations and slightly introverted in others.

Table C: General Relationships Among Seashore's Interpersonal Dimensions and Various Specific Traits

DIMENSIONS →		Initiative		Dependency		Self-Disclosure		Expectations		Connection		Time Contact		Status			Resources		Emotionality		Conflict			
Related Traits' Levels	Active	Passive	Depndnt	Interdep	Independnt	Disclos'g	Non-Disc	Open	Hidden	Intimate	Distant	Little Tim	Long Tm	One Up	Equal	One Down	Compet'tv	Collab'tv	Emotnl/Hi	Stable/Lo	Avoids	Moderates	Generates	
Initiative				Active						Active	Passive	Active	Passive	Active	Passive	Passive					Passive	Active		
Dependency	Interdep									Interdep	Depndnt	Interdep	Depndnt	Interdep	Depndnt	Depndnt					Dependent	Interdep	Independnt	
Self-disclosure		Low						Hi disclos	Lo disclos	Self-disc	Non-disc	Self-disc	Non-disc								Non-disc	Disclos'g	Non-disc	
Expectations		Hidden				Open	Hidden			Open	Hidden	Open	Hidden								Hidden	Open	Hidden	
Connection		Distant				Intimate	Distant	Intimate	Distant			Intimate	Distant								Distant	Intimate	Distant	
Time contact																								
Status	Equal	One dwn	One dwn	Equal	One up											One up	Equal stat				One down	Equal	One up	
Resources	Collab'tv	Non-cmpet	Non-cmpet	Collab'tv	Competitive									Competitv	Collab'tv	Non-compet					Non-cmpet	Collab	Compet'tv	
Emotionality		Hi emotn	Md emotn	Low emotn										Generates	Moderates	Avoids	Moderates	Generates			Emotional			
Conflict																								
Int'pers sensitivity										Hi sensi		M-H sens		M-H sens								Sensitive	Insensitivity	
Social insight										M-H insite		M-H insite		M-H insite								Hi insight	Lo insight	
Commun. skills										M-H comm		M-H comm		M-H comm								Hi comm	Lo comm	
Social needs	M-H socl	M-L socl	Hi socl	Med socl	Low socl					M-H socl	M-L Socl	M-H socl	M-L socl	M-H socl	M-H socl	M-L socl	M-H socl				High socl	M-H socl	Lo socl	
Ego level	M-H ego	Low ego	Low ego	M-H ego	High ego	M-H ego	M-Lo ego	M-H ego	Low ego	M-H ego	Low Ego	M-H ego	Lo ego	Hi ego	Md-Hi ego	Low ego	Hi ego	M-H ego	Lo-M ego	M-Hi ego	Low ego	M-Hi ego	Hi ego	
Social value	M-H socl									M-H socl		M-H socl		Lo socl	Med socl		Lo socl	Md-Hi socl			Md-Hi socl	Lo socl		
Economic value														Hi econ	Med econ		Hi econ	Md-Hi ec			Med econ	Hi econ		
Political value														Hi polit	Med polit		Hi polit	Md-Hi pol			Med polit	Hi polit		
Religious value																								
Intellectual value																								
Achievement														Hi achv	Md achv	Lo achv	Hi achv	M-H achv						
Benevolence	M-H bene									M-H benev		M-H benev		Lo benev	Md benev	Hi benev	M-L benev	M-H benev				M-H benev	Hi benev	
Leadership	Md ldr	Lo ldr												Hi ldrshp	Md ldrshp	Lo ldrshp	Hi ldrshp	M-H ldrshp						
Support	Md spprt		Hi supprt	Med spprt	Lo supprt					M-H supprt			Hi supprt								Hi supprt			
Conformity														Lo conform	M-H cnfrm	Hi conform	Lo conform	M-H cnfrm						
Recognition														Hi recog	Md recog	Hi recog	Hi recog	M-H recog						
Independence	Md depnd		Lo indepdn	Med indep	Hi indepdn					Interdepndt	Independnt	Interdepndt	Independnt	Independnt	Independnt	Dependent	Independent	Interdepndt			Dependent	Interdepndt	Independnt	
Self-confidence	M-H conf	Lo conf	Lo conf	Md-Hi conf	Hi confidnc	Hi conf	Lo conf	Hi conf	Lo conf	Md-Hi conf	Lo Conf	M-H conf	Lo conf	Hi conf	M-H conf	Lo conf	Hi conf	M-H conf	Lo conf	M-H conf	Lo conf	M-H conf	Hi conf	
Sociability	Hi soc'y	Lo soc'y				Hi soc'y	Lo soc'y	Hi soc'y	Lo soc'y	Md-Hi soc	Lo soc'y	M-H soc	Lo soc'y		M-H soc	Lo soc'y	M-H soc	Lo soc'y	M-H soc	Lo soc'y	M-H soc	Lo soc'y		
Dominance	M-H dom	Lo dom	Lo dom	Md-Hi dom	Hi dom									Hi dom	Md dom	Lo dom	Hi dom	M-H dom			Lo dom	M-H dom	Hi dom	
Soc'l conscient'ness	M-H cons									M-H cons		M-H cons		Lo cons	M-H cons		Lo cons	M-H cons				M-H cons	Lo consc	
Adaptability						Hi adapt	Lo adapt	Hi adapt	Lo adapt	M-H adapt		M-H adapt		Lo adapt	M-H adapt		Lo adapt	M-H adapt				M-H adapt	Lo adapt	
Social maturity	M-H matur		Hi matur							Hi matur		Hi matur		Lo matur	M-H matur		Lo matur	M-H matur					Hi matur'	
Responsibility																								
Original thinking																							M-H or thnk	
Emotional stability	M-H stab	Lo stab	Lo stabil	M-H stabil	Hi stabil	M-H stabl	M-L stabl	M-H stabl	M-L stabl	M-H stabl	Lo stabl	M-H stabl	Lo stabl							Lo stabl	Hi stabl	Lo stabl	M-H stabl	
Self-control	Md contrl									M-H cntrl		M-H cntrl		Lo contrl	M-H cont	Hi contrl	Lo contrl	M-H cntrl			Lo contrl	M-H cntrl	M-H cntrl	Lo cntrl
Hi or H = relatively high	Lo or L = relatively low	Md = medium/average	M-H = medium to high	M-L = medium to low																				

= more causal or influential trait levels underlying the dimension

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### **Active (in initiative)**

At least two basic types of people can be relatively high in initiative. However, the two groups have different trait profiles, and are, therefore, "active" for different reasons.

Unshaded Hi's and Lo's in the "Active" column in Table C indicate levels of characteristics possessed by the highly sociable, affiliative people who are genuinely warm, kind, and friendly. Their initiative in approaching and dealing with people is directly a function of medium to relatively high levels of self-image, social needs, and self-confidence. They tend to be about medium or average in their levels of self-control and concerns for leadership, support, and independence. They also tend to be medium to relatively high in these associated, people-oriented traits: the social and benevolence values; self-assertiveness; social conscientiousness; social maturity; and emotional stability.

These people's relatively high levels of self-image and self-confidence can often be a function of certain other personal traits. For example: Many if not most are probably "high enough" in the two sets of traits that facilitate experiencing the positive feedback that strengthens self-image and self-confidence: (a) the economic, political, or achievement values that normally motivate people to put forth enough effort to be successful in their own and others' eyes; and (b) the career-related and interpersonal skills that enable people to behave successfully.

With respect to Seashore's other dimensions, such people also tend to be interdependent, equal with others in status, and collaborative with respect to gaining, using, or consuming resources.

The second group of rather active people, whose profiles we have not shown in Table C, are more self-centered and less genuinely warm and friendly than the first group. They, too, are high in self-image and self-confidence. But they are also high in self-oriented traits such as the following: the economic and political values; the concerns for leadership, recognition, and independence; the desire to be "one up" in status; and competitiveness for resources. On the other hand, they tend to be relatively low in people-oriented traits such as the social and benevolence values, the concern for support, social conscientiousness, social maturity, and self-control. They are basically self-oriented, and, as a result, take the initiative in interacting with others in order to form and utilize self-serving relationships.

### **Passive (in initiative)**

Highly introverted individuals generally have the trait levels

indicated under the "Passive" column. They tend to be low in ego level (self-image) and self-confidence. Consequently, they also tend to be high in the need for others' support and low in independence, the concern for leadership, dominance, and emotional stability. Some are considerably lower than average in social needs.

Many of these people are relatively low in self-image and self-confidence, because their levels of career-related and/or interpersonal motivational traits and skills are not high enough for them to behave more successfully and generate ego-strengthening positive feedback.

With respect to Seashore's other dimensions, passive individuals tend to be dependent, "one down" in status, and non-competitive. They are also likely to be low in self-disclosure, hidden (rather than open) regarding their expectations, and distant (rather than intimate) in connection. They avoid controversy and conflict. As in the case of active individuals, there are actually two types of passive individuals, each having slightly different profiles and each being low in initiative for different reasons. Because the differences between these types of people are somewhat more complicated, we will save our discussion regarding the second type for Part II.

### **Dependency**

This dimension ranges from "dependent" (on one end of the scale) to "interdependent" (in the middle) to "independent" (at the other end). It corresponds to the interpersonal value called "independence" by Leonard Gordon and others (but obviously describes related tendencies in terms of the other end of the scale).

### **Dependent (low in independence)**

Dependent individuals are usually high in social needs and the concerns for others' understanding, support, kindness, and positive feedback. This is largely because they are relatively low in self-image, self-confidence, self-assertiveness, and emotional stability.

These and other factors or circumstances can also be largely responsible for these tendencies: (a) such people do not possess the motivation and/or skill levels necessary to be more successful, self-sufficient, and independent; (b) they are infants or persons with illnesses or disabilities, and must rely on others to fulfill their needs; and/or (c) they are being kept materially, financially, or emotionally dependent by domineering or manipulative parents, spouses, or bosses.

With respect to Seashore's other dimensions, dependent

individuals are also inclined to be “one down” in status, non-competitive, and emotional.

### **Independent** (high in independence)

Independent persons tend to be relatively low in social needs and the concern for others’ support. This is largely because they are relatively high in underlying traits such as ego level, self-confidence, self-assertiveness, and emotional stability.

Many if not most independent people possess these trait levels for reasons that are opposite those mentioned above.

With respect to Seashore’s other dimensions, such people are also inclined to be “one up” in status and “competitive” with respect to resources.

### **Interdependent** (medium in independence)

Unlike the two extremes, interdependent people are generally medium to relatively high in the underlying and associated characteristics mentioned above. They are also more socially mature and more inclined to “give and take” in relationships with others.

In terms of Seashore’s other dimensions, interdependent people can be described as follows: willing to be “equal” with others in status; “collaborative” with respect to resources; and average in emotionality.

## **Self-disclosure**

This dimension ranges on a scale from high to low. It deals with how readily and truthfully individuals can talk about themselves—that is, their experiences, thoughts, feelings, characteristics, strengths, weaknesses, problems, hopes, fears, goals, successes, mistakes, and failures.

### **Self-disclosing** (high in disclosure)

High self-disclosure is largely underlain by a healthy self-image and a high level of self-confidence. It is also underlain by medium to relatively high levels of extroversion (“thinking extroversion” and “emotional extroversion” as well as “social extroversion”), adaptability (self-honesty), and emotional stability.

As in the cases of high initiative and independence, a relatively high level in self-disclosure can largely be a func-

tion of having adequate or higher levels of various career-related and interpersonal motivational traits and skills. In terms of Seashore’s other dimensions, we think of self-disclosing people as being “intimate” in connection and “open” about their expectations concerning relationships.

### **Non-self-disclosing** (low in disclosure)

Low self-disclosure is largely underlain by a low self-image, high levels of insecurity and ego-defensiveness, and low self-confidence. It is also underlain by relatively low levels of adaptability and emotional stability.

As in the cases of dependence and low initiative, relatively low self-disclosure can largely be a function of having “inadequate” levels of various career-related and interpersonal motivational traits and skills.

In terms of Seashore’s other dimensions, we associate low self-disclosure with tendencies to be “distant” in connection and “hidden” with respect to expressing expectations of relationships. We also associate it with being “suppressing.” (Suppression is one of the ego defense mechanisms we discussed earlier.)

It must be acknowledged, however, that another set of traits can be partly if not wholly responsible for low self-disclosure. Although we have not provided their profile in Table C under the “Low” column, some individuals not only hide who they really are, but also pretend to be someone they are not—so that it will be easier for them to manipulate and use other people for their own selfish purposes. Such people tend to be high in self-image level, ego needs, competitiveness, the economic and political values, dominance, and the desire to be “one up” on others in status. They tend to be relatively low in people-oriented traits such as the social and benevolence values, conformity, social conscientiousness, social maturity, and self-control.

It must also be acknowledged that various circumstances can be partly if not wholly responsible for low self-disclosure. Quite often, the degree to which an individual is self-disclosing depends on the degree to which he or she trusts the other party to the relationship. [This depends not only on traits affecting the individual’s “trustingness,” but also on the individual’s perception of the other person’s trustworthiness, which, in turn, is a function of the other person’s actual (perhaps past) trustworthiness.] In general, individuals are less self-disclosing toward people whom they do not or cannot trust. This is particularly true of individuals who are already low in self-disclosure and associated traits by nature.

## Expectations

This dimension ranges on a continuum from “hidden” to “open.” In our view, it is closely related to self-disclosure, since underlying traits are almost the same. The main difference is that “disclosure” basically refers to thoughts and feelings about oneself, while “expectations” basically refers to thoughts and feelings about one’s relationship with the other person.

### **Open** (in expressing expectations)

People who are “open” and readily express their expectations about relationships tend to be relatively high in underlying traits such as self-confidence, adaptability, sociability (social extroversion), thinking and emotional extroversion, and emotional stability.

In terms of Seashore’s other dimensions, we associate “openness” with relatively high self-disclosure. After all, people are actually being self-disclosing when they are relating their personal thoughts and feelings concerning their expectations about a relationship. In addition, “open people” tend to be “intimate” in connection.

Like self-disclosure, openness involves trust and implies truthfulness. Thus, it, too, can partly depend on other factors and characteristics. People in general tend to be more open and truthful about their expectations when they trust the other party to a relationship. They also tend to be more truthful when they are relatively high in adaptability (self-honesty), social conscientiousness, social maturity, and self-control. People with these traits tend to be more idealistic than opportunistic about relationships, and, therefore, are less inclined to “take advantage of others.” Consequently, they have no need to hide their intentions toward others.

### **Hidden** (regarding expectations)

People who generally hide their expectations concerning relationships tend to be relatively low in underlying traits such as ego level, self-confidence, sociability, adaptability, and emotional stability. They also tend to be relatively high in associated traits such as defensiveness and thinking and emotional introversion. (Of course, their defensiveness can be partly due to a lack of trust in the other individual’s motives.)

In terms of Seashore’s other dimensions, we associate “hidden expectations” with being low in self-disclosure and “distant” in connection.

Those who normally hide their expectations can be more open in their relationships with select individuals—individuals whom they trust, by whom they do not feel threatened, and with whom they feel especially comfortable.

Here, too, it must be acknowledged that another set of traits can be partly if not wholly responsible for certain people hiding their expectations. Although we have not provided their profile in Table C under the “Hidden” column, some people hide their expectations of and intentions toward others in order to make it easier for them to manipulate and take advantage of others. As in the case of “low disclosure,” such people tend to be high in ego level, ego needs, the economic and political values, dominance, the desire to be “one up” in status, and competitiveness. At the same time, they tend to be relatively low in people-oriented traits such as the social and benevolence values, conformity, social conscientiousness, social maturity, and self-control.

It must also be acknowledged that various circumstances can be partly if not wholly responsible for hidden expectations. Quite often, the degree to which an individual hides his or her expectations and intentions depends on the degree to which he or she trusts the other party to the relationship. As would be expected, most individuals are less open toward those whom they do not trust. This is particularly true of individuals who are already low in “expectations” and associated traits by nature.

## Connection

This dimension ranges on a scale from “intimate” to “distant.”

In our view, the degree of connection (intimacy) between two people partly depends on each’s levels of the four dimensions already discussed: initiative, dependency, self-disclosure, and openness (expectations). Along with certain other characteristics, these dimensions—and the traits that either underlie or can be associated with them—affect individuals’ “motivational inclination and behavioral tendency” to be intimate.

### **Intimate** (in connection)

People who tend to be intimate in their relationships are typically higher than other types of people in two groups of traits.

First, they are above average to relatively high in motivational characteristics that induce close, intimate interactions. These include self-image/ego level, social needs, interde-

pendency, the concern for support, the social and benevolence values, and sociability.

Second, they are also medium to relatively high in two sets of “enabling characteristics” that make it possible for them to behave intimately. Connection-enabling skills include: interpersonal sensitivity; social insight; and communicative skills. Connection-enabling orientations or tendencies include: self-confidence (sense of well-being and self-worth); social conscientiousness; adaptability; social maturity; emotional stability; and self-control. (Several of these traits influence one’s trustworthiness.)

In terms of Seashore’s other dimensions, these people are “active” (in initiative), interdependent, relatively high in self-disclosure, and “open” with respect to expressing their expectations.

Such people demonstrate love of, concern for, attention to, trust in, and tolerance of people. Instead of using people, they concentrate on the relationship itself, both giving and taking so that each party benefits emotionally.

#### **Distant** (in connection)

Those who tend to be distant toward most people are generally described in terms of the shaded characteristics under the “Distant” column: low in self-image/self-esteem (low in ego level); high in social needs (but fearful of rejection); low in self-confidence; highly introverted; dependent; in need of others’ support; and emotionally unstable.

In terms of Seashore’s other dimensions, such people can also be described as “passive” (in initiative), dependent, low in self-disclosure, and “hidden” with respect to expressing their expectations.

Even though these individuals usually behave in a distant and withdrawn manner, they still need intimacy and affection. Consequently, they will very cautiously form relationships with select individuals—individuals whom they feel they can trust, by whom they do not feel threatened, with whom they are similar in important respects, and with whom they feel very comfortable.

Although we have not shown their trait profiles in Table C, two other groups of individuals can be somewhat distant—but for different reasons. The people in the first group are high in ego level and self-confidence, but are also high in self-centered values (e.g., the economic and political values). Such people tend to form more superficial than intimate relationships, which they are inclined to use to their own advantage. Those in the second group are high in ego level and

self-confidence, too. But, because they are also high in intellectual and/or achievement motives, they tend to be preoccupied with work and achievement rather than with relationships.

#### **Time Contact**

This dimension ranges from “little” (little contact time required to establish a relationship) to “long” (long contact time required).

Relationships can be either casual, superficial acquaintances or close, intimate relationships. Because most people require little time to become acquainted, we will limit our discussion to the time required to develop close, meaningful relationships.

In our view, the level of this dimension is largely a function of trait levels that can be associated with the dimensions already discussed.

#### **Little** (contact time required)

Those who require little time to establish a close relationship tend to be above average to relatively high in motivation-related traits such as ego level (self-esteem), self-confidence, social needs, and sociability.

Having the motivation or willingness to establish close relationships within a short time is one thing. Being able to do so effectively can be another. Nevertheless, we would expect many if not most of the people described above also to be above average to relatively high in the following unshaded enabling characteristics in the “Little” column: interpersonal skills; emotional stability; and people-oriented interpersonal motives/traits (such as the social value, benevolence, social conscientiousness, adaptability, social maturity, and self-control).

With respect to interpersonal dimensions, these people are also inclined to be (a) active in initiative (sociable); (b) interdependent (rather than dependent or independent); (c) self-disclosing; (e) open (in expressing expectations); and (f) intimate (in connection).

#### **Long** (contact time required)

Those who require a relatively long time to establish close relationships are typically low in most of the shaded traits in the “Long” column: ego level (self-esteem), self-confidence, sociability, independence, and emotional stability.

Although these people can be rather high in social needs such as the needs for affection and support, they fear rejection. As a result, they are very cautious in forming relationships—even with select individuals whom they perceive as being socially mature, sensitive, supportive, trustworthy, benevolent, self-disclosing, open, and intimate. They will give and take with such people in order to earn their understanding, respect, friendship, and support. Still, they will be very sensitive to whether or not their own acts and trust are being reciprocated by the other people.

In terms of Seashore's other dimensions, these people tend to be passive in initiative, dependent, low in self-disclosure, hidden with respect to expectations, and distant in connection.

Since "time contact" can be as much a function of the other party to a relationship as a function of one's own needs, values, skills, and personality traits, we will not refer to this dimension in various Tables in Parts I and II.

## **Status**

This dimension ranges from "one up" (at one end of the scale) to "equal" (in the middle) to "one down" (at the other end).

### **One Up (in status)**

The two types of people who have a need to be "one up" on other people in status tend to be higher in self-centered traits than in people-oriented traits. Both types are relatively high in ego needs. Although they are also high in ego level, they tend to be rather insecure in terms of their self-image, identity, and reputation. They have a need to reinforce their egos by proving to themselves and others that they are superior in some respect.

People in the first group are relatively high in the economic and political values—the traditional criteria indicating success and "superiority" in our culture. They also tend to be relatively high in the leadership, recognition, and independence values and the self-confidence and dominance personality traits. On the other hand, they tend to be relatively low in people-oriented traits such as the social value, benevolence, conformity, social conscientiousness, adaptability, social maturity, and self-control. As a result, they are inclined to (a) use or take advantage of others, and (b) "put others down" in order to "put themselves up" [to feel superior to ("more OK" than) others in terms of financial success or power/influence].

People in the second group, for whom we have shown only one trait (in parentheses) in Table C, are high in the achieve-

ment and recognition values (rather than the economic and political values). These people have a need to outshine others in terms of their personal achievements (rather than in terms of monetary/material success and/or power/influence).

While both types of "one-uppers" can be high or low in social insight and communicative skills, they are likely to be below average in interpersonal sensitivity.

In terms of Seashore's other dimensions, "one-uppers" are inclined to be fairly high in initiative, independence, competitiveness for resources, and the tendency to generate interpersonal conflict.

### **One Down (in status)**

Those who tend to be "one down" in status are usually low in ego level (self-esteem), self-confidence, the leadership value, dominance, (self-assertiveness), independence, sociability, and emotional stability. Basically, they are introverts, who are inclined to be very introspective, self-critical, withdrawn, and emotional.

Many of these people also tend to be high in the social, conformity, and benevolence values, while being relatively low in the economic and political values and/or achievement value.

In terms of Seashore's other dimensions, such people are also inclined to be passive in initiative, dependent, non-competitive, and conflict-avoiding.

### **Equal (in status)**

Those who treat others as equals tend to possess a balance between their levels of self-oriented and people-oriented traits.

On one hand, these individuals tend to be above average to relatively high in self-oriented traits such as ego level and self-confidence. They can also be average to slightly above average in these self-oriented traits: the economic value; the political and leadership values; the dominance trait; the achievement value; and the concerns for recognition and independence. On the other hand, their self-oriented motives and tendencies are moderated by average or slightly above average levels of the social, benevolence, and conformity values (which balance the economic, political, and/or achievement values) and by above average to relatively high levels of social needs, interpersonal sensitivity, social insight, and traits such as sociability, social conscientiousness, adaptability, social maturity, and self-control.

In terms of Seashore's other dimensions, these people can also be described as being interdependent, collaborative with respect to resources, and inclined to moderate interpersonal conflicts.

In general, one's need for status (need to be "one up") is greater when one is being "put down"—especially by others who have a need to be "one up" and are in a position to assert their power or influence. Getting "one up" enables some people to deal with others on more self-advantageous terms. It can put them in a position to assert themselves, have a greater influence on their environment, and, in some cases, "get even" with those who have been "putting them down."

## Resources

This dimension ranges from "competitive" at one end of the scale to "collaborative" at the other.

### **Competitive** (for resources)

Those who are highly competitive tend to be rather selfish and opportunistic with regard to gaining, maintaining, and using or consuming resources.

These people are relatively high in the following: ego needs; ego level; self-centered values (the economic and political values, or, in some cases, the achievement value); the concerns for leadership, recognition, and independence; and the dominance trait. On the other hand, they tend to be below average to relatively low in these people-oriented traits: social needs; the social, benevolence, and conformity values; social conscientiousness; adaptability; social maturity; and self-control.

In terms of Seashore's other dimensions, these individuals are not only inclined to be independent, but also have a need to be "one up" in status. Largely because of their selfishness, independence, and tendency to try to get "one up" on others in one way or another, such people can easily generate interpersonal conflicts.

### **Collaborative** (for/with resources)

Those who are more collaborative tend to be more socially mature (less self-centered and more people- or team-oriented).

Although collaborative people can be above average to relatively high in ego needs, ego level, self-confidence, and self-assertiveness, they tend not to be as high as competitive individuals in traits such as the economic and political values,

the achievement value, and the concerns for leadership and recognition. Equally if not more important, their levels of these traits are moderated by above average to relatively high levels of the following people-oriented traits: social needs; the social, benevolence, and conformity values; social conscientiousness; adaptability; social maturity; and self-control. (We have emphasized this by shading the latter group of traits, while not shading the former.)

In terms of Seashore's other dimensions, such people are interdependent, are willing to be equal with others in status, and tend to moderate conflict.

It must be acknowledged, however, that one's orientation with respect to resources can be influenced by the behavior of others. For example: In highly competitive environments, normally collaborative individuals can become more competitive in self-defense.

### **Non-Competitive** (for/with resources)

Although Seashore's scale does not include the term "non-competitive," we have used it several times above. In our view, "non-competitive" is actually the opposite of "competitive," and should be at the other end of the scale—with "collaborative" in the middle. To us, "collaborative" is to the "competitiveness scale" what "interdependent" is to the "dependence/independence scale."

We equate non-competitiveness not only with being introverted (relatively low in ego level, self-confidence, self-assertiveness, and sociability), but also with being relatively low in the economic and political values (and/or the achievement value), relatively high in dependence, and above average in the social and benevolence values.

In terms of Seashore's other dimensions, such people tend to be passive, "one down" in status, and conflict-avoiding.

## Emotional Range

Seashore's "emotional range" deals with an individual's capacity to feel a broad spectrum of emotions—e.g., fear, pain, anger, and love. He has two sub-dimensions: "all (emotions) are readily available" and "only \_\_\_\_ is available."

In general, people who have all human emotions available are fairly well adjusted. They have levels of various people- and career-related traits that enable them to interact normally with others and to cope successfully with their environments. On the other hand, people who have a narrow range of emotions available can be repressing, sublimating, compensating

for, or trying to control certain positive and/or negative emotions. This often indicates that they may not be well adjusted and may not possess the levels of various traits that would enable them to interact normally and successfully with their environments.

We acknowledge that analyzing an individual's emotional range can be beneficial. Among other things, it can help an individual do the following: (a) identify those emotions that he or she may be repressing, sublimating, compensating for, or trying to control; (b) understand the reasons; (c) deal with the emotions; and (d) identify those traits or behavior patterns that might be improved or further developed.

Nevertheless, we prefer not to use Seashore's term in this segment of the series. Instead, we substitute the terms "emotionality" and "emotional stability," which deal with the intensity and volatility of a person's emotions rather than with the range of their availability. We do so for two main reasons: First, we refer to emotional stability throughout our entire series and wish to remain consistent. Second, emotional stability is measured on the personality instruments we use in our seminars. Seashore has not yet developed such an instrument for "emotional range."

One's level of emotional stability largely depends upon one's ego level (sense of self-worth), sense of psychological well-being, self-confidence, and maturity.

### **Emotional** (low in emotional stability)

People who are emotionally unstable experience frequent and rather intense emotional peaks and valleys. They have tendencies to be introspective and self-critical and to have some difficulty coping effectively with their responsibilities and relationships. These tendencies cause self-image and identity problems, which, in turn, foster tendencies to be relatively low in ego level, self-confidence, sociability, and adaptability (high in ego-defensiveness). Such people can also be below average in self-control.

As in the cases of several other dimensions, emotional instability can be a function of certain other personal traits. For example: Many emotionally unstable people are relatively low in self-esteem and self-confidence, because their levels of certain career-related and/or people-related traits are not high enough for them to behave more successfully and to experience more ego-strengthening positive feedback than ego-diminishing negative feedback.

Environmental factors can also be largely responsible. For example: Many people's emotions become "unraveled" when they experience the emotional trauma that often accompanies

the loss of a job. Emotionally unstable people can also be the victims of selfish, domineering parents, bosses, or spouses—who tend to hurt others emotionally and destroy their self-esteem.

### **Emotionally Stable**

Those having more stable emotions tend to be above average to relatively high in self-esteem (sense of self-worth), the sense of psychological well-being, and self-confidence. As a result, they tend to possess corresponding levels of sociability, adaptability (self-honesty), and self-control.

Here, too, other personal traits and certain environmental factors can be largely responsible for these trait levels. Many if not most emotionally stable people possess "functional" levels of work-related and interpersonal motives, skills, and personality traits, which enable them to cope successfully and to experience more positive than negative feedback. In addition, most of their relationships and interactions are likely to be with socially mature individuals.

### **Conflict**

Seashore's "conflict" dimension ranges on a continuum from "able to generate it" (at one end of the scale) to "moderates it" (in the middle) to "avoids it" (at the other end).

### **Generates Conflict**

People having the greatest tendency to generate conflict are usually very self-centered (not very people-oriented). They are inclined to satisfy their own needs and attain their own goals at other people's expense. They frequently hurt others' feelings when they "put themselves up" by "putting others down."

Such people tend to be rather high in the following traits: ego needs; ego level; the need for recognition; independence; self-confidence; dominance; and the economic and/or political values (or possibly the achievement value). On the other hand, they tend to be rather low in these people-oriented traits: social needs; the social, benevolence, and conformity values; social maturity (social conscientiousness and adaptability); and self-control. While they also tend to be relatively low in interpersonal sensitivity, they can be significantly higher in social insight and communicative skills. However, those with the greatest tendency to generate conflict are usually low in all three types of interpersonal skills.

People can also have a tendency to generate conflict by being high in the social or religious values, while at the same time being low in adaptability (flexibility, and honesty in looking at oneself and others). These combinations often cause individuals to be critical and suspicious of, and antagonistic toward, those who cannot live up to their moral standards and expectations.

In terms of Seashore's other dimensions, we associate a tendency to generate conflict with being low in dependency (high in independence), low in self-disclosure, hidden with respect to expectations, distant in connection, desirous of being "one up" in status, and high in competitiveness.

### Avoids Conflict

People having the greatest tendency to avoid conflict are usually the most vulnerable, uncertain about themselves, and introverted. They avoid or withdraw from situations wherein they could be involved in conflict and could experience psychologically painful, ego-diminishing negative feedback.

This tendency is mostly underlain by being relatively low in ego level (self-esteem), emotional stability (the sense of psychological well-being), and self-confidence. Associated traits in which such people tend to be relatively high are social needs, dependence, and the concern for support. Associated traits in which they tend to be relatively low are sociability and self-assertiveness.

Here, again, people can possess these tendencies if they (a) do not have adequate levels of career- and people-related motives, skills, and personality traits; and/or (b) are being psychologically abused by those with whom they have regular contact.

In terms of Seashore's other dimensions, we associate these people's tendency to avoid conflict with being high in dependency, "one down" in status, passive in initiative (introverted), low in self-disclosure, hidden with respect to expectations, distant in connection, and "long" in contact time required.

It must be acknowledged that another group of people, whose profile we have not included in this column of Table C, can also tend to "avoid conflict." However, these very selfless, people-oriented individuals do so for a different reason and in a different way. In order not to cause conflict, they are especially benevolent toward others and conscientiously try not to hurt them. Such people are below average to relatively low in self-centered traits such as the economic and political values, the achievement value, the leadership value, and dominance. On the other hand, they are above average to

relatively high in people-oriented traits such as interpersonal sensitivity, the social and benevolence values, conformity, social conscientiousness, social maturity, and self-control.

It must be pointed out, however, that some of these individuals can be rather introverted and can have some of the trait levels found in the first group of "avoiders."

### Moderates Conflict

People having the greatest tendency to moderate conflict are well-adjusted and socially mature. Like those who are inter-dependent and those who are equal in status, they possess a balance between self- and people-oriented traits.

With respect to self-oriented traits, these individuals are above average to relatively high in ego level (self-esteem), self-confidence, and self-assertiveness. Their average to above average levels of "success-oriented motives" (such as the economic, political, leadership, achievement, and recognition values) are balanced by equal or slightly higher levels of people-oriented motives (such as social needs and the social, benevolence, and conformity values) and by above average to relatively high levels of people-oriented behavioral tendencies (such as social conscientiousness, adaptability, and self-control). In addition to being rather high in interpersonal sensitivity, social insight, and communicative skills, they are also above average to relatively high in emotional stability, responsibility, and original thinking.

In terms of Seashore's other dimensions, we associate this tendency with being "fairly active" in initiative, interdependent, relatively high in self-disclosure, open with respect to expectations, intimate in connection, equal in status, collaborative with respect to gaining and using resources, and emotionally stable.

As a result of all these traits, such people are both inclined and able to do the following: (a) suppress their own human, selfish, conflict-causing inclinations; (b) sense when conflicts are developing; (c) help bring conflicts out into the open, so that they can be confronted and dealt with constructively; (d) help the parties involved to recognize and deal with the underlying causes; (e) help the parties deal with the negative emotions and attitudes involved; and (f) help others to develop conflict-moderating attitudes and skills.

## Concluding Perspectives

Two points that were mentioned several times above should be emphasized:

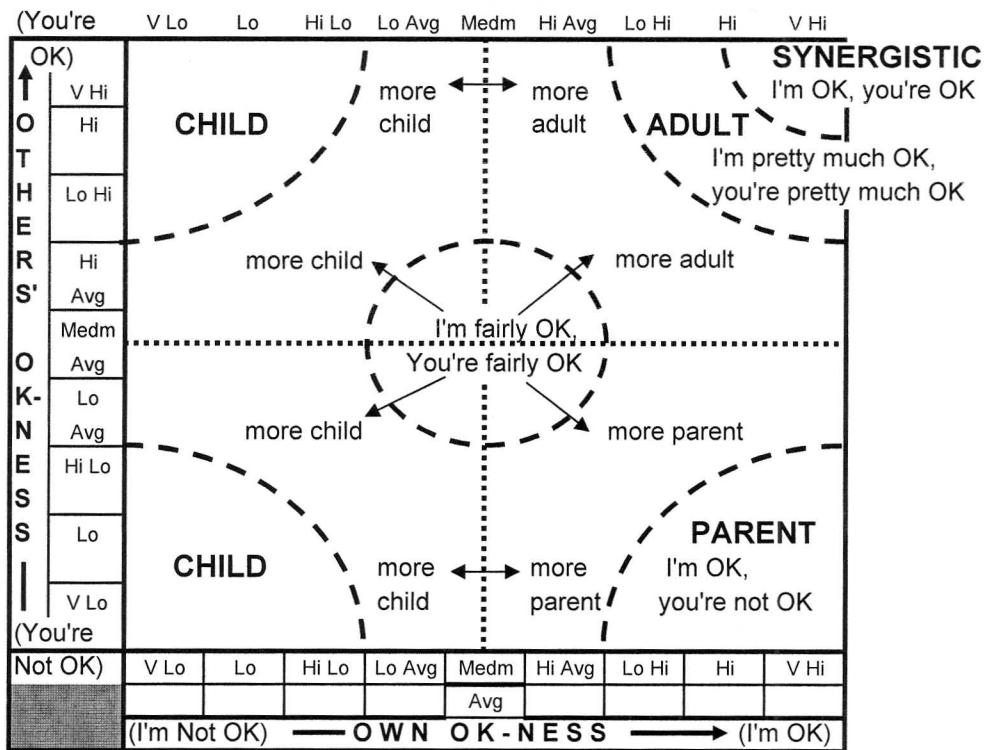
- A. While these dimensions are largely a function of an individual's levels of needs, values, and personality traits, they can also be influenced by an individual's levels of career-related and interpersonal skills. Skill levels affect (a) how successfully one behaves in various areas; (b) how much positive or negative feedback one receives in various areas; and, thus, (c) one's levels of needs, values, and personality traits. Conversely, skill levels (and their development) are influenced by needs, values, interests, and goals. As we said in Section 1, all of these characteristics act with and upon each other as a system.
- B. An individual's levels of the various interpersonal dimensions can also be largely a function of environmental factors—such as the traits and interpersonal dimensions of the other party to a relationship. For example: It is easier to be interdependent, self-disclosing, open, intimate, equal in status, collaborative, and emotionally stable when one is interacting with an individual who possesses these interpersonal dimensions. (We will discuss this phenomenon further in Part II.)

In short, *an individual's levels of Seashore's interpersonal dimensions are the net effect of both personal and external influences.*

In concluding this section, we should also call special attention to some common threads that run across all these dimensions. Have you noticed, for example, that certain groups of traits exert major underlying influences on all these dimensions? They are: (a) one's ego level (and levels of associated traits such as self-confidence and sense of psychological well-being); and (b) one's levels of people-oriented traits versus (relative to) one's levels of self-oriented traits. Here are three examples:

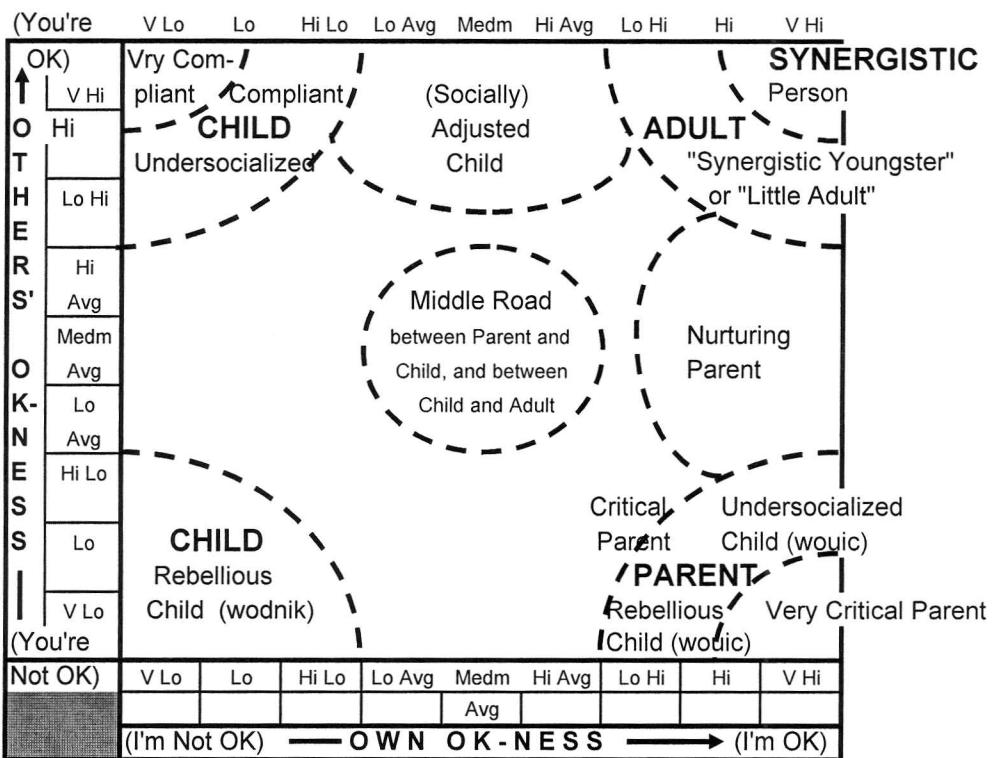
- A. Those who are below average to relatively low in ego level also tend to be the following: passive; dependent; low in self-disclosure; hidden with respect to expectations; distant in connection; "long" with respect to contact time required; "one down" in status; non-competitive with respect to resources; emotionally unstable; and inclined to avoid conflict.
- B. Those who are above average to relatively high in ego level—and are also higher in self-oriented traits than in people-oriented traits—tend to be the following: (selfishly) active in initiative; independent; low in disclosure (of their selfish motives); hidden with respect to their (selfish) intentions; rather distant (superficially intimate) in connection; desirous of being "one up" in status; competitive with respect to gaining and using resources; and inclined to generate conflict.
- C. Those who are above average to relatively high in ego level—and are also higher in people-related traits than in self-oriented traits—tend to be above average to relatively high in the following: initiative; interdependence; self-disclosure; openness with respect to expectations; intimacy; equality in terms of status; collaborativeness with respect to resources; emotional stability; and the tendency to moderate conflict.

**Figure 2: Basic Parent, Adult, Child, and "Synergistic" Ego State Zones**  
 (In terms of own and others' levels of "OK-ness")



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**Figure 3: Ego States, Their Sub-States, and Their Associated Life Positions**  
 (In terms of own and others' levels of "OK-ness")



wodnic = when "one down" and/or not in control

wouic = when "one up" and/or in control

## SECTION 3

### **Ego States and Associated Life Positions**

#### **General**

Relationships between people involve verbal and/or physical interaction. When people interact, they are each “sending transactions” to the other. Eric Berne,<sup>8</sup> father of Transaction Analysis, has defined a transaction as either (a) a verbal and/or physical stimulus (e.g., a statement from one person to another), or (b) a verbal and/or physical response (e.g., a reply from the second person to the first).

According to Berne, analyzing any particular transaction can lead one to infer that a particular ego state underlies it. He identified three main states: Parent, Adult, and Child.

#### **Ego States**

Ego states can be described as “learned role patterns.” Role patterns consist of learned attitudes and behavior patterns concerning oneself, others, and one’s relationships with others. Parent, adult, and child role patterns are essentially learned during childhood. Children learn what it means to be a child, a parent, and an adult from various “role models.”

Although parents are the major role models for parent attitudes and behavior patterns, Parent role models can also include those teachers, coaches, religious figures, and other children’s parents who tend to operate primarily in the Parent State and to exercise authority or control over children. The major role models for adult attitudes and behavior patterns include those parents, teachers, and other adults who tend to operate primarily in the “adult state.” Although major role models for child attitudes and behavior patterns are siblings (sisters/brothers) and peers, they can also include those adults who operate primarily in the “child state.”

As children see and hear these various types of role models behaving in certain ways, they record the “script” for each role in memory (as though on a recording tape). Thus, according to Berne, each of us has a parent tape, an adult tape, and a child tape.

Which one of the three tapes we “play back” at a given moment depends upon (a) the context or circumstances in which we find ourselves, and (b) the nature of particular stimuli that we are experiencing within the situation. In other words, we

can tend to play one particular tape (behave in one way) given one set of conditions, and play another tape (behave in another way) given another set of conditions.

#### **Life Positions**

Thomas A. Harris<sup>7</sup> translated these ego states into what he called “life positions.” A life position describes how a person who is operating in a particular ego state views “self” and others in terms of being “OK” or “not OK.”

While being OK can mean different things to different people, it usually means the following to people in general:

- a. being knowledgeable, competent, alert, and able to cope successfully;
- b. having self-esteem (a healthy self-image), a strong identity, and self-confidence;
- c. being a good (moral, decent) person;
- d. being able to relate well with others;
- e. being liked or loved by others;
- f. having a desirable reputation (having status, prestige, and others’ trust, respect, and admiration); and
- g. having influence (if not control) over one’s life and environment.

Being “not OK” means the opposite.

According to Harris, these are the four basic life positions:

- a. I’m OK, you’re not OK
- b. I’m not OK, you’re OK
- c. I’m not OK, you’re not OK
- d. I’m OK, you’re OK

#### **The Ego States and Their Associated Life Positions (General)**

The three major ego states and their associated life positions are shown in **Figure 2** (facing page). **Figure 3** (facing page) expands on Figure 2 by indicating the “sub-states” that can be associated with the major ego states.

Both figures indicate the relative positions of ego states and associated life positions on a grid framework. The framework has two axes. The horizontal axis indicates one's perception of one's own level of "OK-ness." The vertical axis indicates one's perception of other people's (or another person's) level of "OK-ness." A particular ego state (or sub-state) and its associated life position is represented on the grid framework by the intersection of the levels of "**Own OK-ness**" and "**Others' OK-ness**." For example: The Parent State position is the point at which one's "Own Ok-ness" is perceived as being high (I'm OK), while "Others' Ok-ness" is perceived as being low (You're not OK). [In other words, if you (1) drew a line upward from the point on the horizontal axis that says, "high," (2) drew a line across the grid from the point on the vertical axis that says, "low," and then (3) looked at the point where the two lines intersect, you would find the Parent Ego State position on the grid.] Similarly, the Child position at the top left-hand corner of the grid is where a low level of "Own OK-ness" intersects with a high level of "Others' OK-ness."

### The Parent Ego State

As shown in Figure 2, the basic parent state can be associated with an "I'm OK, you're not OK" attitude (life position). Actually, the parent state is largely underlain or caused by this combination of attitudes regarding oneself and others.

As shown in Figure 3, however, we divide the parent state into three sub-states: the "very critical parent state"; the "critical parent state"; and the "nurturing parent state."

### The Child Ego State

As shown in Figure 2, the basic child ego state can be associated with an "I'm not OK, you're OK" attitude (life position). Here, too, the ego state is largely underlain or caused by the associated combination of attitudes regarding oneself and others.

As shown in Figure 3, however, we divide the basic child state into four sub-states: the "under-socialized child state"; the "compliant child state"; the "rebellious child state"; and the "adjusted child state."

### The Adult Ego State

According to Harris, this ego state involves an "I'm OK, you're OK" attitude (life position). To us, however, it involves an "I'm pretty much OK, you're pretty much OK" attitude.

### The Synergistic Ego State

You will note in Figures 2 and 3 that we have redefined the adult state position and have divided it into two somewhat distinct states—the adult state and what we call the "synergistic state." To us, it is the synergistic state that involves an "I'm OK, you're OK" attitude. Later in this section, we will discuss our reasons for making this distinction.

You might already have surmised that our "own OK-ness" largely revolves around our own ego needs and the level of their satisfaction. You might also have surmised that our attitudes about "others' Ok-ness" largely revolve around other people's behavior toward us and how that behavior affects our egos.

As we will discuss shortly, people operating in different ego states use different combinations of positive and negative ego enhancement mechanisms and ego defense mechanisms to improve and protect their own sense of Ok-ness. In the process, however, they can also negatively affect others' sense of Ok-ness—especially if they are using negative defense mechanisms and/or dysfunctional enhancement mechanisms that hurt others' egos and diminish their sense of Ok-ness.

Because of these phenomena, we could have discussed ego states and life positions when we were discussing ego enhancement and ego defense mechanisms. First, however, we wanted to discuss needs and drives, values, personality traits, and interpersonal dimensions, so that we could relate them to ego states. As we will show, ego states (attitudes about oneself, others, and oneself relative to others) are related to, and are often responsible for, the following:

- a. one's use of positive and negative ego enhancement mechanisms (which and how much);
- b. one's use of ego defense mechanisms (which and how much);
- c. one's interpersonal attitudes;
- d. one's levels of various needs, values, and personality traits; and
- e. one's levels of interpersonal dimensions.

In the following pages, we describe and discuss ego states and sub-states in terms of (a) through (e) above. Our descriptions are summarized for convenient reference in **Table D** (pages 32 and 33).

Before going on, we should make several points regarding these descriptions:

First: Although they are based on the originators' descriptions, we have (a) added several sub-states to the list, (b)

**Exhibit 1: Illustration of Descriptive Terms' Relative Meanings**

Interpersonal Dimensions ("Expectations" and "Self-Disclosure" used as examples.)							
Very hidden	Hidden	Rather/relatively hidden	Fairly hidden	Somewhat hidden/open	Fairly open	Rather/relatively open	Open
Very low disclosure	Low disclosure	Rather/relatively low (high low)	Low Average	Average/Medium disclosure	High Average	Rather/relatively high (low high)	High disclosure
Values and Personality Traits (Shown with Percentile Ranges)							
1-4	5-11	12-23	24-40	41-60	61-77	78-89	90-96
Very Low	Low	Rather/Relatively Low (High Low)	Low Average	Average/Medium	High Average	Rather/Relatively High (Low High)	High

modified the descriptions of several sub-states, and (c) included certain perspectives of our own.

Second: From this point to the end of Part II, we often use words like "high," "rather," "relatively," "fairly," "somewhat," and "low" to describe ranges of levels of traits and interpersonal dimensions. **Exhibit 1** indicates what we mean by these terms.

Third: We recommend that, after reading about all of these ego states and sub-states, you determine which state(s) and/or sub-state(s) you operate in most of the time—and why. We also recommend that you do the same with respect to the people closest to you. Then, consider the implications for your relationships with others and what you might do to improve them.

ploying value-laden attitudes and/or behavior patterns concerning what is right/wrong, good/bad, or normal/abnormal. People operating in the parent state do not think things out rationally. They do not weigh the two sides of a story, the issues involved, or the pros and cons. They have a learned, value-based answer for everything. They see things as black and white (e.g., as all right or all wrong, as all good or all bad, or as completely normal or completely abnormal).

Of the three major ego states, the parent state involves the highest concerns for financial success, material things, practicality, and power or authority.

Berne and others have identified two parent sub-states: the "critical parent" and the "nurturing parent." The first involves lecturing, scolding, and laying down the law. The second involves paternalistically teaching, protecting, and supporting.

## The Parent Ego State

This ego state is essentially evaluative (judgmental). When people behave according to their parent tape, they are em-

### The Critical Parent Sub-State

Critical parents "know" what is right and wrong, good and bad, or normal and abnormal. They always know what people

**Table D: Ego States (Learned Role Patterns)  
and Associated Aspects/Dimensions/Traits/Styles**

EGO STATE	PARENT		ADULT		
	Evaluative, emotional. Behaves based on learned concepts of good/bad, right/wrong, and normal/abnormal, which sees as "black and white." Emphasizes do's/don'ts and should's/shouldn'ts.		Rational, non-judgmental, self-controlled. Acts after considering values, sides of issue, alternatives, trade-offs, consequences, and probabilities. Mentally mature, rather socially mature.		
Sub-States	<b>CRITICAL</b>		<b>NURTURING</b>		
	Emotional rather than rational. Evaluative and highly judgmental. Attacks both behavior and personality of others, putting them down and making them feel "not OK." Mind is made up. Is directive and controlling (autocratic/authoritarian).		Emotional, evaluative, but more understanding and caring. Sets limits, provides direction. Does not put people down. Is paternalistic.		
	<b>Very Critical</b>	<b>Critical</b>			
Life Position	I'm very OK, you're definitely not OK.	I'm OK, you're not OK.	I'm OK, you're fairly OK		
Childhood Ego State Coming From	Rebellious Child or (Very) Undersocialized Child	Undersocialized Child; can be Compliant Child	Mostly Socially Adjusted Child		
Own Ego Enhancement	Use mostly negative mechanisms		Mostly positive		
Ego Defense	High use of ego defense mechanisms		Medium use		
Significant Traits	<u>Hi to Very Hi</u> Self-confidence Dominance Decisiveness <u>Lo to Very Lo</u> Social and benevolence values Social conscientiousness Adaptability Social maturity Self-control Original thinking		<u>Rel. Hi to Hi</u> Self-confidence Dominance Decisiveness <u>Avg to Hi Avg</u> Social/benev. values Social conscient'ness Adaptability Social maturity Self-control Original thinking		
Interpersonal Dimensions (in this ego state)  (middle range of three ranges)	Active in initiative One up in status Independent Low self-disclosure Hidden expectations Distant in connection Competitive for resources Emotional Generates conflict		Rather active Rather one up Rather independent Fairly disclosing Fairly open Fairly intimate Rather competitive Somewhat emotional Moderates conflict		
Interpersonal Style Tendency (in this ego state)	High Low	Self-centeredness People-Orientedness	Rel. High Rel. Low	High Self Orientation, Medium People Orientation	Rel. Hi Self Orientation, Rel. Hi People Orientation
Parental Behavior (of adult in this ego state)	Autocratic: highly critical, strict, abusive	Authoritarian critical, somewhat abusive	Paternalistic (Nurturing)	Adult	
Managerial or Leadership Style Tendency (of adult in this ego state)	Autocratic; Hard X  (Very High Task, Very Low People)	Authoritarian; Theory X  (Rela'lly Hi Task, Rela'lly Lo People)	Soft X to Mid-Road  (Rela'lly High Task, Medium People)	Mid-Road to Team  (Med. to Hi Task, Med. to Hi People)	

CHILD				SYNERGISTIC
Emotional, irrational; impulsive, spontaneous; dependent.				
UNDERSOCIALIZED	COMPLIANT	REBELLIOUS	ADJUSTED	
Spoiled, self-indulgent; self-centered, selfish. Tends to be irresponsible, manipulative, deceitful, and vengeful.	Dependent/insecure; rather shy; highly socialized and self-controlled. Experiences considerable inner conflict.	Hurt, unhappy; resentful, suspicious, antagonistic, aggressive; low self-control. Can be vengeful.	Happy; adaptive; (inter)dependent; socially adjusted and affiliative; fairly self-controlled; enjoys people and life	Mature, functional, well developed and adjusted personality. Good-natured, amiable. Consistently behaves in manner reflecting rationality, worthwhile values, sensitivity, and reasonableness.
I'm OK. You are how you treat me.	You're OK, I'm not OK (am I ?).	I'm not OK, you're not OK.	I'm fairly OK, you're OK.	I'm OK, you're OK.
				Synergistic Youngster
Mostly negative	Attempts positive, uses some neg.	Almost entirely negative	Some positive, some negative	Mostly positive
High use	High use	High use	Medium use	Some (benign) use
<u>Low Ranges</u> Social/benev. values Conformity Soc'l conscient'ness Adaptability Social maturity Responsibility Self-control Original thinking	<u>Low Ranges</u> Self-confidence Self-assertiveness Econ./pol. values <u>Rel. Hi to Very Hi</u> Dependence Need for support Conformity Social/benev. values Soc'l conscient'ness Self-control	Low ranges Conformity Benevolence Self-confidence Soc'l conscient'ness Responsibility Adaptability Social maturity Emotional stability Self-control	<u>Rel. Hi to Very Hi</u> Sociability <u>Hi Avg to Hi</u> Self-confidence Self-assertiveness Benevolence Soc'l conscient'ness Adaptability Social maturity Emotional stability Self-control	<u>Rel. Hi to Hi</u> Self-confidence Self-assertiveness Soc'l conscient'ness Benevolence Responsibility Adaptability Social maturity Original thinking Emotional stability Self-control
Active Up; some down Wants independence Low disclosure Hidden expectations Feigns intimacy Competitive Emotional Generates conflict	Passive One down status Dependent Rel. low disclosure Rather hidden Rather distant Non-competitive Emotional Avoids conflict	(Mostly) passive Hi need for status Wants independence Low disclosure Hidden expectations Distant Can be competitive Emotional Generates conflict	Active Fairly equal status Interdependent Rather disclosing Rather open Intimate Rather collab. Emotional Avoids conflict	Active Equal status Interdependent Self-disclosing Open expectations Intimate Collaborative Emotionally stable Moderates conflict
High Self-Centeredness, Low People-Orientedness	Low Self Orientation, High People Orientation	Inconsistent: Hi Self, Lo People when can; otherwise Lo Self, Lo People	Medium Self Orientation, High People Orientation	High Self Orientation, High People Orientation
Tends to be Critical Parent, but can be Permissive under certain circumstances	Critical Parent (many fathers) or Permissive (many mothers)	Tends to be Autocratic Parent, but can be Non-Parent in some situations	Nurturing Parent (many fathers) or Permissive (many mothers)	Synergistic (mental and social developer)
Depends: tends to be Theory X when feels "more OK" and dominant; otherwise is somewhat Permissive	Depends: Tends to be permissive (LT,HP), but can be "X" when feels "more OK" and is in dominant role	Depends: autocrat or authoritarian when in a dominant position, but Non-manager when not	Paternalistic when in dominant position; somewhat Permissive when not	Synergistic (High Task Orientation, High People Orientation)

should do and should not do. Their minds are made up and they do not want to be confused with any additional facts or points of view. Being more emotional than rational, and being highly evaluative and judgmental, they tend to attack both the behavior and personalities of others. If they are in a position to threaten, direct, and control others, they do so. Such behavior makes other people feel “not OK.”

According to Harris, critical parents essentially believe “I’m OK, you’re not OK.” They tend to be down on other people and to put others down because (a) they need to feel that they are OK (which can mean making themselves feel more OK than others); (b) they themselves have a need to rebel against authority figures and become more independent; and (c) other people are potential sources of criticism.

Critical parents have probably received considerable negative feedback—especially during childhood. As a result, they (a) are afraid to be open and honest with others, and (b) are not especially motivated to be benevolent toward others. Although they have a psychological need to be self-confident and independent—and are trying hard to act confident and independent—they are really hiding and compensating for “not OK” feelings about themselves. In other words, they may actually feel that “I may not really be OK, but I’m going to make myself feel OK by making both me and you feel that I’m more OK than you are.”

Such people attempt to enhance their egos by using mostly negative or dysfunctional measures. These measures, which we described on page 14, and which include the negative behavior patterns listed in Table B (page 12), put down and hurt other people. Thus, these people enhance their own egos at the expense of other people’s egos and feelings. In addition to using dysfunctional ego enhancement mechanisms, they make considerable use of ego defense mechanisms, some of which can hurt other people, too.

In terms of interpersonal dimensions, people in the critical parent state are highly concerned about being independent and “one up” in status (even though they may not be). They also tend to be the following: active in initiative (rather extroverted); low in self-disclosure; distant in connection; competitive with respect to resources; emotional; and inclined to generate conflict.

In general, we can also say that those in the critical parent state . . .

- a. are more interested in their own egos than in others’ egos;
- b. are more interested in dominating others than in treating them as equals; and
- c. are more interested in putting down and undermin-

ing others than in developing them and giving them opportunities to become what they have the potential to become.

As shown in Figure 3, and also in Table D, we divide the critical parent sub-state into two more sub-states: “very critical” and “critical.”

### The Very Critical (Autocratic) Parent Sub-State

Those primarily operating in the very critical (autocratic) parent state tend to be especially high in self-confidence (or are trying to be). They also tend to be especially high in dominance and decisiveness. On the other hand, they tend to be especially low in the social and benevolence values, social conscientiousness, adaptability, social maturity, self control, and original thinking.

In order to feel OK, those primarily operating in the very critical parent state deprecate (“put down”), manipulate, and autocratically direct and control others. They put others down (make others feel less OK than themselves) in order to “put themselves up” (feel more OK and one up in status). In the process of enhancing their own egos (self-images and self-esteem) at other people’s expense, they abuse others emotionally. This is especially true of their behavior toward those who are less dominant than they (by nature or role) and are not in a position to fight back or defend themselves (e.g., their subordinates, but especially their children).

As a result of their various attitudes and trait levels, such people have an interpersonal style that reflects “high self-centeredness, low people-orientedness.” Their managerial/leadership style is “hard Theory X” or autocratic, which reflects “(very) high task-orientedness, (very) low people-orientedness.”

As parents, individuals operating primarily in this autocratic ego state are the most likely to be abusive. According to Dr. Jay Lefer,<sup>10</sup> a New York psychiatrist and former editor of the newsletter for the Society of Adolescent Psychiatry, they emotionally abuse their children in one or more of the following ways: dominating; depreciating; depriving; and distancing. Using any of these abusive modes, says Lefer, tends to result in the systematic destruction of a child’s self-esteem (sense of OK-ness).

Domination involves taking control of a child’s every action. Unlike most parents, who attempt to influence their children’s behavior by setting standards of conduct and trying to instill parental values, autocratic parents emotionally abuse their children by using extreme, often grossly exaggerated threats. One mother, for example, reportedly told her son that

he would die if he talked to strangers. Threats such as this are used to create invisible walls so that children's curiosity and experimentation can be controlled. They are also used to terrify children so that they will follow the parents' wishes and not do something wrong, bad, or dangerous. Such behavior amounts to "domination through cruelty" rather than "guidance through education and example."

Depreciation involves putting a child down by (a) criticizing any misbehavior; (b) criticizing personal traits; (c) comparing the child unfavorably with brothers, sisters, or other children; (d) discounting his/her achievements; and/or (e) blaming him/her for mistakes or problems. While most parents occasionally criticize their children in anger or frustration, abusive parents constantly do so. They use words like "never" and "always" to imply that the child invariably fails to live up to expectations.

According to Jeree Pawl,<sup>11</sup> director of San Francisco General Hospital's Infant-Parent Program, denigrating achievements that fall short of perfection is very common among ambitious, middle-class parents. Being "perfectionists" and having irrational or unrealistic expectations of their children, these parents view their children's normal child behavior as deficient and a failure on their part.

Deprivation involves depriving a child of positive feedback such as love, affection, and attention. Deprivation results when parents (a) ignore a child's presence, (b) ignore a child's needs, (c) do not interact at all with a child, and (d) employ "love-oriented punishment." Parents who use love-oriented punishment (also called "love withdrawal punishment") behave in a manner that, in effect, says the following to the child: "You are not worthy of my love because you have misbehaved and have disappointed or embarrassed me. Therefore, I'm going to withhold or withdraw my love, attention, and affection as punishment."

Distancing involves just what it connotes—keeping a child physically and/or emotionally at a distance. Distancing often occurs when parents (a) do not want their children, and/or (b) are ashamed of them and want to dissociate themselves from them. In distancing themselves from their children, these parents are also depriving them.

According to Byron Egeland,<sup>12</sup> a University of Minnesota psychologist, parents emotionally abuse their children for many reasons. First, they do so not because of their children's misbehavior, but because they themselves received inadequate love and nurturing from their parents. In many if not most cases, these parents have learned such behavior from dominating parents and are "playing back" the highly critical parent tape. Second, emotionally abusive parents are relatively low in sensitivity, the ability to empathize, social in-

sight, psychological-mindedness, benevolence, adaptability, and self-control. Thus, they are constantly angry at their children and either do not recognize or do not care that their parental behavior is hurting them emotionally and developmentally. Third, many if not most such parents dominate and control so that their children will not embarrass them in public. In effect, they are more concerned about their own egos and reputations than their children's feelings and egos.

Research by Egeland and his group has shown that, as emotionally abused children grow older, they can suffer a greater decline in psycho-social development than do physically abused children.

### **The Critical (Authoritarian) Parent Sub-State**

Those operating primarily in the critical parent state tend to be "relatively" rather than "especially" high or low in the traits mentioned above. As a result, they do not emotionally abuse their children, their subordinates, and others to quite the extent that very critical parents do.

Their interpersonal style reflects "relatively high self-centeredness, relatively low people-orientedness." Their managerial or leadership style tends to be Theory X or authoritarian (rather than "hard X" or autocratic).

### **The Nurturing Parent Sub-State**

People operating in the nurturing parent state, while almost as emotional as those in the critical parent state, are more understanding and caring. They set limits and provide direction, but are much less inclined to put other people down.

In our view, their life position is "I'm rather OK, you're fairly OK." Figure 3 indicates this parent sub-state and life position relative to critical parent sub-states and life positions.

People operating primarily in this ego state use numerous negative ego enhancement measures, but also use some positive measures. Since their egos are fairly healthy and secure, they make only medium use of defense mechanisms.

In terms of specific personal traits, those operating in the nurturing parent state are relatively high in self-confidence, dominance, and decisiveness. They are average to slightly above average in the social and benevolence values, social conscientiousness, adaptability, social maturity, self-control, and original thinking.

With respect to Seashore's interpersonal dimensions, nurturing parents tend to be rather active in initiative and rela-

tively high in (the need for) status. Compared to critical parents, they (a) are slightly less independent, emotional, and competitive; (b) are slightly higher in self-disclosure, openness, and intimacy; and (c) are somewhat less inclined to generate conflict.

In other words, compared to those in the critical parent state, those in the nurturing parent state are (a) less self-centered, (b) more sensitive to others' egos and feelings, (c) less interested in dominating others, and (d) more interested in developing others—especially socially.

In our view, the interpersonal style of people who operate primarily in this ego state tends to reflect "high self-orientedness, medium people-orientedness." Similarly, the managerial or leadership behavior of such people tends to be "soft Theory X" ("relatively high task, medium people") to Middle-Road ("medium task, medium people").

## The Adult Ego State

When people behave in the adult ego state, they are logical, reasonable, and unemotional. They approach problems analytically and make decisions rationally. To them, things are not simply black or white (clearly right or wrong, good or bad). Like all people, they have emotions, but they normally control them to the extent that they may appear to be unemotional. Much like computers, they calmly and neutrally process information without letting their emotions distort the facts. They do not respond immediately to situations in a value-based manner (as do those in the critical parent state). Instead, they examine the facts and values involved, the various sides of the issue, the alternative courses of action, the consequences of each alternative, the probabilities of the consequences, and the pros and cons of alternatives before taking action. Being rational, emotionally controlled, and in some cases more achievement-oriented than people-oriented, they (a) tend to treat others as being more rational than emotional, and (b) are often not as sensitive to others' needs and feelings as are certain other types of people.

Harris associates an "I'm Ok, you're OK" life position with this ego state. As we said earlier, however, we associate an "I'm pretty much (rather) OK, You're pretty much (rather) OK" attitude with it, because we reserve "I'm OK, you're OK" for the synergistic ego state. (See the top right quadrants of Figures 2 and 3.)

People operating primarily in the adult state use mostly positive ego enhancement measures, but will use some negative measures. Feeling that they are "pretty much OK" and

that others are "pretty much OK" and are not out to harm them, they make below average use of defense mechanisms.

Traits associated with the adult state include: relatively high self-confidence, self-assertiveness, social conscientiousness, adaptability, social maturity, self-control, and original thinking; and an above average need to achieve.

With respect to interpersonal dimensions, those who operate primarily in the adult state tend to be the following: rather active in initiative; rather equal in status; rather interdependent and self-disclosing; rather open regarding expectations; fairly intimate; rather collaborative; rather stable emotionally; and rather inclined to moderate conflict.

The interpersonal style of people operating primarily in this ego state tends to reflect "relatively high self-orientedness, relatively high people-orientedness." Their managerial or leadership style tends to be somewhere between mid-road (consultive or "medium task, medium people") and participative ("high task, high people").

## The Child Ego State

People operating in the "basic or natural child state" can be described as emotional, self-centered, irrational, spontaneous, impulsive, and dependent.

Those operating in the child state are easy to spot. When they are getting their own way, they display gaiety, sensuality, curiosity, and imagination. On the other hand, when they are not getting their own way and feel frustrated or inadequate, they sulk, whine, throw tantrums, manipulate others, and indulge themselves.

Different experts have different names for various child sub-states. Several have identified what they call the "natural," the "adaptive," and the "little professor" sub-states.<sup>13</sup> Others have identified what they call the "happy child," the "destructive/rebellious child," and the "destructive/compliant child" sub-states.<sup>14</sup>

We prefer to think in terms of these four basic child sub-states: the "undersocialized child," the "compliant child," the "rebellious child," and the "(socially) adjusted child." We also discuss what we call the "little adult" and the "synergistic youngster."

As we discuss child sub-states, we will be referring to the manner in which and degree to which children have been socialized.

## The Socialization of Children

The socialization process involves the development of certain skills and the inculcation of various values, attitudes, and behavioral tendencies that underlie what is generally called “moral” or “prosocial” behavior.

Essentially, prosocial behavior involves subjugating one’s own needs, interests, and desires to those of other people and to society as a whole, so that one does not derive personal pleasure and fulfillment at the expense of others. It reflects such phenomena as respect, love, compassion, sympathy, altruism, kindness, sharing, honesty, tolerance, justice, fairness, mercy, and forgiveness. Levels or degrees of these phenomena are reflected in various levels of traits such as the social and benevolence values, dominance, social conscientiousness, adaptability, social maturity, and self-control. They are also reflected in various levels of interpersonal dimensions such as status, dependency, self-disclosure, expectations, connection, emotionality, resources, and conflict.

Psychologists and sociologists do not all agree on when moral development starts, on the relative importance of various aspects, or on the processes involved. Nevertheless, we have pieced together a variety of opinions in an attempt to develop an adequate model of the basic aspects and processes involved.

As shown in **Figure 4** (next page), we think that there are actually four distinct but interrelated processes involved in the overall socialization process: (a) the development of a capacity for empathy; (b) the imprinting (learning) of basic, socially-oriented values, attitudes, and behavior patterns; (c) the development of a self-image or identity; and (d) the development of an ability to make moral judgments (and of the underlying logical abilities involved). Note that these processes—and the various phases involved in them—tend to occur during certain time frames, which often overlap. Also note that each developing capability or aspect contributes to the development of others. In addition, note that adult inputs, behavioral examples, and feedback contribute to all aspects and processes involved in social development.

### The Development of a Capacity for Empathy

In their two separate studies, Marion Radke-Yarrow and Carolyn Zahn-Waxler,<sup>15</sup> developmental psychologists at the National Institute of Mental Health, and Nancy Eisenberg,<sup>16</sup> a developmental psychologist at Arizona State University, have researched children’s ability to empathize (“feel” others’ feelings). They believe that emotional sensitivity to other people’s feelings exists in young children and is key to their moral development.

The two separate research efforts have indicated that children do display certain general patterns of empathetic behavior. Between ten and fourteen months, children’s responses to another person’s distress tend to be silence, tense standing, agitation, crying, and whimpering. During this early period, children seldom engage in “helping behavior.” In succeeding months, crying diminishes and more positive and controlled actions begin to take place—simple actions like touching or patting. By age one, all children respond in this manner at some time. By age two-and-a-half to three, children initiate contacts, embrace the person in distress, seek help from a third party, inspect the distress more actively, and give distressed persons little gifts.

These researchers also noted that children’s imitation of adult behavior plays an important role in their development of these early behaviors.

While early behavior seems to follow certain general patterns, the NIMH and Arizona State researchers also detected individual differences in children’s empathetic responses. Certain children stood out as being more emotional than others. (These children may have been learning more child state behavior than other ego-state behaviors.) Other children had very little apparent emotional reaction and took a more reasoned approach—e.g., inspecting, exploring, and asking questions about the situation. (These children may have been learning more adult state behavior than other ego-state behaviors.) Some were more aggressive—e.g., hitting the person who caused the other person’s distress. (These may have been learning more critical parent behavior than other ego-state behaviors.) Still others reacted adversely to the situation, trying to shut it out by turning or running away. (Avoiding behavior is often displayed by those who are being conditioned by highly critical parents.) These early patterns appeared to persist over a period of five to seven years. The researchers found, however, that behavior involving moral reasoning was less consistent.

Martin L. Hoffman,<sup>17</sup> a developmental psychologist at the University of Michigan, believes that empathy is innate (inherited) and is the basic motivation for prosocial behaviors such as altruism and sharing. According to Hoffman, children less than one year old realize when others are experiencing distress, but assume that the other’s internal state is the same as their own. At about one year, however, they start recognizing themselves as being physically distinct from other people. (In Figure 4, note the arrow pointing from “struggle to distinguish self from others” up to the early stage of development of empathetic capabilities.) By age seven or eight, they are much better able to distinguish their own feelings from others’ feelings and to choose actions that are appropriate for helping others.

**Figure 4: Aspects of, and Processes Involved In, the Socialization Process**

(Ages and Time Frames are Approximate)

Age: 1 2 3 4 5 6 7 8 9 10 11 12 13 14 to 20 21  
 Infancy ..... Childhood ..... Adolescence ..... Adulthood

**ADULTS' INPUTS (Attitudes, Behavior, Examples, Feedback)**

**Development of Empathetic Capabilities**

to 2 years	2 to 5 years (+)	6/7/8 years (+) and on into adolescence and adulthood	→
Simple, involuntary, non-interpretive, sympathetic/emotional responses to other's distress	Basic, essentially emotional but somewhat cognitive responses (influenced by developing cognitive abilities and repertoire of experience).	Increasingly more complex cognitive-emotional/empathetic responses (influenced by the continually increasing repertoire of cognitive-emotional experiences and the advancing development of cognitive abilities).	→

**Imprinting (Learning/Conditioning) of Socially-Oriented Values, Attitudes, and Behavior Patterns**

2 through 5/6/7 years	6/7/8 to 10 (+) years	10 (+) years and on into adolescence and adulthood	→
Imprinting (conditioning) of values/behaviors by adults. Involuntary avoidance of trouble and punishment.	"Internalization" of values by individual.	Increasingly voluntary self-control and prosocial behavior.	→

**Development of Personal Identity/Self-Image**

to about 2	2 to 5/6/7 years	6/7/8 years to 13 (+) years -- and on through adolescence into adulthood	→
Struggle to distinguish oneself from others	Basic self-awareness; initial, adult-influenced identity and self-image.	(Cognitive/comparison-based) development of own identity/self-image Modelling / Identification Comparison of self with others (aided by class logic) Feedback from environment	→

**Development of Ability to Make Moral Judgments (and Underlying Logical Abilities Involved)**

2 to 6/7/8 years	6/7/8 years to 12/13/14 years	12/13/14 years into adolescence and adulthood	→
Simple, concrete, non-judgmental, absolute ("black and white") behavior, mostly based on values being imprinted, built to some extent on developing empathetic abilities. Behavior oriented toward obedience & trouble-avoidance.	Elementary moral judgments (influenced by: the developing ability for class logic, values being imprinted and internalized, developing empathetic abilities, and a growing repertoire of cognitive-emotional experience). Increasing voluntary adherence to socially-acceptable roles, norms, and expectations.	Increasingly complex, contextual/subjective judgments (influenced by developing abilities for class and propositional logic, and by an expanding repertoire of cognitive-emotional experience).	→

Hoffman believes that, during childhood, people begin experiencing “empathetic guilt”—that is, feeling distress when they have been the cause of someone else’s distress. As a result, they begin behaving in ways that avoid causing this “self-imposed distress.”

Based on the above observations, Hoffman recommends that parents discipline children for wrong-doing, obtain compliance, and immediately provide an explanation that will induce sympathy for the person affected by the misbehavior. As shown in Figure 4, explanations and negative feedback are among the adult inputs that influence children’s social attitudes and behavior. Radke-Yarrow and Zahn-Waxler would add another input. They found that children develop greater empathy when parents frequently explain their own behavior.

In general, then, the process of empathetic development involves several basic phases:

1. *Early emotional empathetic responses* (approximately 10 months to two years): Children make simple, involuntary, emotionally sympathetic, non-interpretive responses to others’ distress.
2. *Basic cognitive-emotional empathetic responses* (approximately years 2 through 5, 6, or 7): Because of a developing repertoire of associations between distressed emotions and accompanying behavior, and also because of their developing cognitive abilities, children begin to respond in a more cognitive as well as emotional manner. They begin to interpret distress, attribute emotions to others (as well as to themselves), and exhibit more experience-based, cognitive-emotional empathetic reactions to others’ emotions.
3. *Increasingly more complex cognitive-emotional empathetic responses* (from about years 6, 7, or 8 through adolescence and on into adulthood): The continuing development of individuals’ cognitive abilities and repertoire of experience enables increasingly complex cognitive-emotional empathetic reactions to others’ emotions.

It is difficult to feel another person’s pain, sorrow, grief, anxiety, happiness, or joy if we ourselves have not experienced these emotions. As we grow older and experience an ever-widening range of situations and emotional responses, we become increasingly sensitive to the emotions being experienced by others. In other words, our increasing range of emotional experience enables us to “walk in other people’s emotional shoes” to an increasing degree.

In our view, one’s development of the capacity for empathy

contributes to two of the interpersonal capacities mentioned in Table A: interpersonal sensitivity and social insight (the ability to interpret, understand, and assess one’s own and others’ social behavior).

### **The Imprinting (Learning) of Basic, Socially-Oriented Values and Behavior Patterns**

While others speak of “social conditioning” and “value conditioning,” Morris Massey,<sup>18</sup> a professor at the University of Utah, refers to the “imprinting of gut-level values” in children. These gut values involve attitudes concerning what is right and wrong, good and bad, and normal and abnormal. They also involve what it means to be kind, benevolent, conscientious, reliable, responsible, sharing, fair, considerate, and so forth. According to Massey, these values (and associated behavior patterns) are conditioned from ages one through seven and become well entrenched by about age 10. Once established, he asserts, they will operate throughout life and be among the most powerful influences on behavior. He does acknowledge, however, that changes in this basic value system after age twenty-one can result from “significant emotional events.”

To a great extent, children learn gut-level values from their parents’ attitudes, behavioral examples, and positive and negative feedback (rewards and punishments). They also learn them from the inputs provided by teachers, religious leaders, coaches, other adults, and peers. In addition, they learn them from school books, music, and mass media such as TV, radio, and magazines.

As shown in Figure 4, several phases are believed to be involved in this imprinting or conditioning process:

1. *Basic conditioning or imprinting* (from about year 1 through years 5, 6, or 7): During this phase, children are actively influenced by parents and other adults to learn certain values and to follow certain expectations regarding social behavior. Several of the main ways adults exert influence are by (a) setting an example, (b) rewarding “right behavior,” and (c) punishing “wrong behavior.” As a result, children involuntarily tend to behave as they are made to behave. Their obedience is basically oriented toward avoiding trouble and punishment.
2. *Internalization of learned values and behavioral tendencies* (during years 6, 7, or 8 through year 10+): In this phase, children begin to “internalize” socially acceptable values and behavioral tendencies, to “make them their own,” and to act them out more consciously and voluntarily. Rather than sim-

ply avoiding punishment, they more actively seek (a) rewards for “right behavior,” and (b) greater self-esteem (by conforming to the stereotype of a “good or OK” person).

3. *Increasingly voluntary, prosocial self-control* (from about year 10 through adolescence and on into adulthood): Having internalized the fundamentals of a socially acceptable value system, and continuing to develop that value system as they mature, individuals exercise increasing degrees of self-imposed, prosocial self-restraint in social situations.

Psychologist William Damon<sup>19</sup> of Clark University believes that, during adolescence, people begin developing a sense of “distributive justice” (how someone resolves competing claims for goods and resources). This sense of distributive justice is directly related to Seashore’s “resources” dimension. Someone high in distributive justice would be collaborative with respect to resources; someone low would be more competitive.

As shown by two downward-pointing arrows in Figure 4, it is our view that children’s increasing capacity for empathy contributes to this process. We would not expect children to internalize and further develop prosocial values and behavioral tendencies unless they were also doing the following: (a) developing greater sensitivity to others’ feelings; (b) behaving in a more sensitive, compassionate manner; and (c) experiencing positive feedback from others (which results from acceptable behavior and tends to reinforce positive, prosocial attitudes toward others).

As shown by a single upward-pointing arrow in Figure 4, it is also our view that the ability to make elementary moral judgments contributes to the internalization process, too. This process is not always completely thoughtless and “blind.” Before individuals fully accept and adopt values as their own, they often make judgments—however simple—concerning their “rightness,” appropriateness, and/or functionality.

Two more upward-pointing arrows in Figure 4 indicate our view that the development of one’s own self-image and identity contributes to this process as well. We would not expect children to internalize prosocial values and behavioral tendencies unless they were partly building their self-images and identities around some degree of conformance to desirable attitudes and behavior. Internalizing values and behavioral tendencies involves “making them one’s own.” The process of developing one’s self-image and identity influences what one calls one’s own and adopts as “part of oneself.”

## **Development of an Identity and Self-Image**

The development of one’s identity and self-image occurs in several phases and involves several phenomena:

1. *Struggle to distinguish self from others* (to about 2 years): As mentioned earlier, the NIMH and Arizona researchers noted that young children struggle to distinguish “self” from “other persons.” As Hoffman pointed out, children of about one year begin to recognize themselves as being physically distinct from other people.
2. *Basic self-awareness and the formation of an initial adult-influenced identity and self-image* (approximately years 2 through 5, 6, 7): Children’s initial identities and self-images tend to be rather vague and are largely influenced by adult inputs that revolve around relatively basic, simple parameters. For example, children learn these and other things from their parents and other adults: how old they are; what it means to be a child; whether they are boys or girls; and what it means for them to be boys or girls. In many cases, children’s initial identities are also a function of who their parents are and what they do.
3. *Initial personal formation of an identity and self-image* (from years 6, 7, or 8 through 13 or 14): Several major phenomena occur during this time frame:
  - A. *(Logical) comparison of self with others:* As one interacts with the environment during these years, one develops various inputs for initially forming one’s own identity and self-image. The major inputs are: (a) a vocabulary (words for describing oneself and others in terms of various characteristics); (b) a growing repertoire of knowledge and experience concerning people, their characteristics, and their behavior; and (c) the ability for class logic (deductive logic). (The ability for class logic develops between ages 5 or 6 through 12, 13, or 14.) Together, these inputs enable one to do the following:
    1. describe oneself and others in terms of numerous human characteristics—e.g., size, strength, physical appearance, intelligence, knowledgeability, skillfulness, honesty, goodness/badness, benevolence,

- degree of power or influence, and degree of masculinity or femininity;
2. compare and contrast oneself with others in relative terms;
  3. distinguish similarities and differences between oneself and others; and
  4. form a personal identity or self-image (which is relative to others and which one begins trying to protect and enhance).
- B. *Modelling* (about years 8 through 13): According to Massey, it is during this time frame that children try to pattern their own identities and self-images after various role models and heroes. (Modelling, therefore, largely influences the development of parent, adult, and child “tapes.”)
- C. *Identification* (from childhood into adulthood): Identifying and/or associating with those who are apparently more liked, respected, or admired than oneself helps to build up one’s self-image or identity. (Individuals often model themselves after those with whom they wish to identify.)
- D. *Adjustment of self-image/identity based on environmental feedback* (from childhood into adulthood): Positive feedback from parents, other adults, and peers tends to strengthen children’s developing identities and self-esteem. On the other hand, negative feedback from others tends to diminish their identities and self-esteem. Children generally receive both positive and negative feedback from various sources. As a result, their self-images undergo many changes or adjustments. For example: At one moment a parent might tell a child that he or she is “OK,” “good,” and “worth loving,” but at the next moment that same parent, the other parent, another adult, or a peer might tell the child that he or she is “not OK,” “bad,” or “not worth loving.” While positive feedback causes the child to adjust self-image upward (to a more positive or less negative level), negative feedback causes the child to adjust self-image downward (to a less positive or more negative level). The same principle applies to adults, who also adjust their self-images in response to both positive and negative feedback from others.
4. *Continuing changes in and adjustments to self-image and identity* (through adolescence and on into adulthood): Phenomena A through D above continue to occur, bringing about changes in people’s self-perceptions and identities throughout life.
- As indicated by one downward-pointing arrow in Figure 4, it is our view that the internalization of values contributes to the development of one’s self-image and identity. The values being internalized constitute standards by which one judges oneself as being good or bad.
- As indicated by one upward-pointing arrow in Figure 4, it is also our view that the development of the ability to make moral judgments contributes to this process, too. In order to compare and contrast oneself with others in terms such as “goodness,” “OK-ness,” and “worthfulness,” one must make at least elementary judgments about one’s own and others’ (relative) goodness.
- ### **Development of the Ability to Make Moral Judgments**
- Jean Piaget,<sup>20</sup> the first modern-day psychologist to attempt an explanation of children’s moral development, focused on the development of reasoning abilities in children. He postulated that younger children are self-centered and do not yet have the cognitive skills to understand the purpose of society’s rules or to apply them in a reasoned manner. But by about age ten, he said, cognitive skills have developed to the point where children can interpret society’s rules and become aware of the consequences of violating them. Soon thereafter, he thought, they start using their emerging intellectual abilities to reach higher levels of moral judgment, which involve the assessment of people’s motives and intent.
- Like Piaget, psychologist Lawrence Kohlberg<sup>21</sup> of Harvard University has also focused on the more cognitive aspects of the development of moral judgment. He has postulated that there are three developmental levels and six developmental stages.
- The *preconventional level* involves behavior that is based on personal needs and wants and on the (negative) consequences of bad behavior—rather than on social standards or conventions. This first level contains the first two stages. During the first stage, children defer to adult authority and orient their behavior around obedience and the avoidance of trouble or punishment. During the second stage, they develop a more positive approach. They behave in a more socially acceptable manner in order to satisfy their own and (sometimes) others’ needs. By about age ten, they have progressed through the first two stages.
- The *conventional level* involves making moral judgments and behaving in ways that conform to societal laws, conven-

tions, and expectations. It contains the third and fourth stages. During the third stage, children seek approval by pleasing and helping others. During the fourth stage, they “do their duty,” respect authority, and maintain the social order for its own sake. According to Kohlberg, most adults function at this second level of social maturity.

The *postconventional level* involves making moral judgments and behaving in ways that are “comprehensive” (cover all contingencies), “consistent” (are never violated), and “universal” (do not change with variations in situations or circumstances). It contains the fifth and sixth stages. During the fifth stage, individuals recognize and adhere to legalistic standards, duties, and rights. They avoid violating others’ rights and welfare. During the sixth stage, they exercise their conscience as they make choices involving not just social rules, but social principles. According to Kohlberg, few individuals reach this highest level of moral maturity.

Although Kohlberg’s model refers to behavioral stages involving moral judgments, it does not explicitly describe the process through which the abilities involved in making moral judgments develop. As others have pointed out, neither does it take into account the development of empathetic capacities.<sup>22</sup> In our opinion, however, it does do something very useful. While basically describing the imprinting and internalization processes in slightly different terms than we used earlier, it interrelates certain aspects of these three phenomena: the imprinting and internalization of social values; the development of cognitive abilities as they relate to the development of a self-image; and the making of moral judgments. For this reason, you will find Kohlberg’s terms woven into Figure 4 and the following discussion.

In our view, these are the three major phases through which individuals pass as they develop the underlying abilities involved in making moral judgments:

1. *Early, simple, non-judgmental, concrete, absolute (“black and white”) responses* (years 2 to 6, 7, or 8): During this period, abilities for class logic (deductive logic) are just beginning to develop. (The ability for class logic involves mentally defining, describing, comparing, and contrasting things, people, ideas, and activities in terms of various attributes.) As a result, relatively little reasoning underlies the morality of young children’s behavior. For the most part, they simply obey adults in order to avoid trouble and punishment.

As shown by two downward-pointing arrows in Figure 4, children in this phase essentially act on (a) early empathetic emotions, and (b) the basic values (attitudes about right/wrong and good/ bad) that are

being imprinted by (learned from or conditioned by) adults.

2. *Elementary moral/ethical judgments* (years 6, 7, or 8 to 12, 13, or 14): Having more fully developed the ability for class/deductive logic, and having begun to develop the ability for propositional/inductive logic, children make rather elementary moral judgments. [Propositional logic, which develops from ages 7 or 8 through adolescence, involves asking oneself, “Given this situation, what will happen if I do . . . (this versus that)?” Using this form of logic draws on one’s experiences in past situations.] It is during this period that (older) children begin taking a more positive approach. Instead of simply avoiding trouble and negative feedback, they think about right and wrong and actively seek positive feedback by voluntarily adhering to socially acceptable roles and norms.

As indicated by three downward-pointing arrows in Figure 4, the moral judgments children make during this phase are influenced by the following: (a) an increasing capacity for empathy and a growing repertoire of cognitive-emotional experience; (b) the values being imprinted and internalized; and (c) an increasing level of self-awareness and a more developed self-image.

3. *Increasingly complex, contextual or subjective judgments* (years 12, 13, or 14, through adolescence, and on into adulthood): Having more fully developed the abilities for both class logic and propositional logic, adolescents (and adults) are able to think in more conceptual, contextual, and subjective terms. As a result, they become increasingly able to do the following (based not only on their reasoning abilities, but also on their empathetic capacities, their learned values, and their increasing repertoire of knowledge and experience):
  - a. interpret social rules and norms in terms of social ideals and principles;
  - b. develop a greater sense of the social order, the social will, and justice;
  - c. judge the appropriateness of their own and others’ (imprinted/learned) values;
  - d. make contextual and subjective judgments;
  - e. apply morals and ethics within the contexts of various situations;
  - f. consider the consequences of behaving in unacceptable ways;

- g. judge their own and others' behavior based on underlying motives and intentions;
- h. assess degrees of right and wrong;
- i. more realistically perceive things as being gray rather than simply black or white; and
- j. make judgments and choices regarding conflicts between different people's needs and rights.

In some way and to some degree, all the above processes and phenomena influence the following in individuals: (a) ego states and associated life positions; (c) levels of various needs or drives; (d) use of ego-defense and ego-enhancement measures; (e) attitudes regarding people and interpersonal relationships; (f) values; and (g) personality traits.

In general, we can say the following:

- a. the greater the degree of one's social conditioning or social indoctrination,
- b. the higher or more lofty the values (ideals) that one has learned,
- c. the higher one's (cognitive-emotional) capacity for empathy,
- d. the more healthy the self-image that one has developed,
- e. the greater the interpersonal knowledge and experience that one has accumulated, and
- f. the more well-developed one's abilities for class and propositional logic,

then . . .

- a. the higher the levels of one's social and benevolence values,
- b. the greater the tendency to see oneself and others as being "OK,"
- c. the greater the tendency to use positive/constructive (rather than dysfunctional) ego-enhancement measures,
- d. the lesser the tendency to use those ego defense measures that hurt other people, and
- e. the higher the levels of one's self-control and social maturity (social conscientiousness, adaptability, and tolerance).

As we conclude this section, we should mention one more point. The development of what the noted psychoanalyst, Sigmund Freud<sup>23</sup>, called the "super-ego" corresponds to the process through which the empathetic capacity, prosocial values, and the ability to make moral judgments all develop in conjunction with the development of one's self-image (ego).

One's superego—or "conscience," as many call it—is the "level above ego" that restrains self-centered pursuit of pleasure at other people's expense.

As we describe and discuss child sub-states, we will refer to **Figure 5** (next two pages) as well as to Figure 3 (page 28). The former indicates certain cause and effect relationships among various ego states and sub-states.

As shown in Figure 5, cause and effect relationships among ego states revolve around the "developing child." The developing child is initially an infant—a basic or natural child who is essentially emotional, irrational, dependent, unsocialized, and self-centered. As the infant grows older, it passes through childhood and adolescence on its way to adulthood.

During infancy and early childhood, a child's parents exert profound influences on its development of (a) ego states, (b) use of ego enhancement and defense mechanisms, (c) values, (d) interpersonal dimensions, and (e) personality traits. This is not to say that the child's aunts, uncles, grandparents, teachers, religious leaders, coaches, sisters, brothers, and playmates or peers do not also influence the developmental process. They do. In fact, the influences of their behavior can either reinforce or contravene and override parental influences.

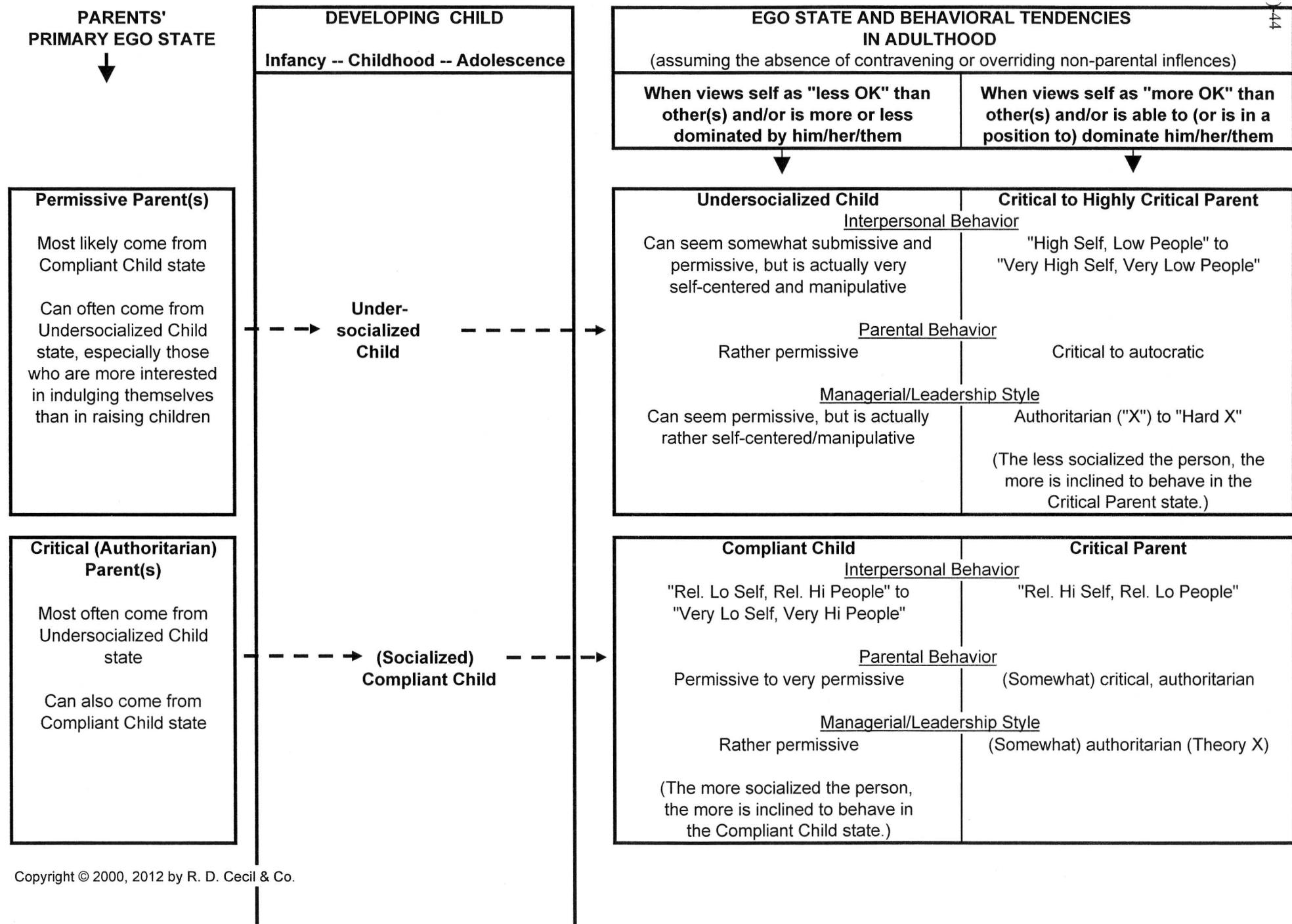
In Figure 5, however, we have indicated how a parent (or parents) operating mostly in a particular ego state can influence a child to develop a particular primary ego state—in the absence of any contravening or overriding influences exerted by other individuals. In the two right-hand columns, we have also indicated the ways in which a person who is coming from a particular child sub-state can tend to behave in interpersonal, parental, and managerial or leadership situations during adulthood.

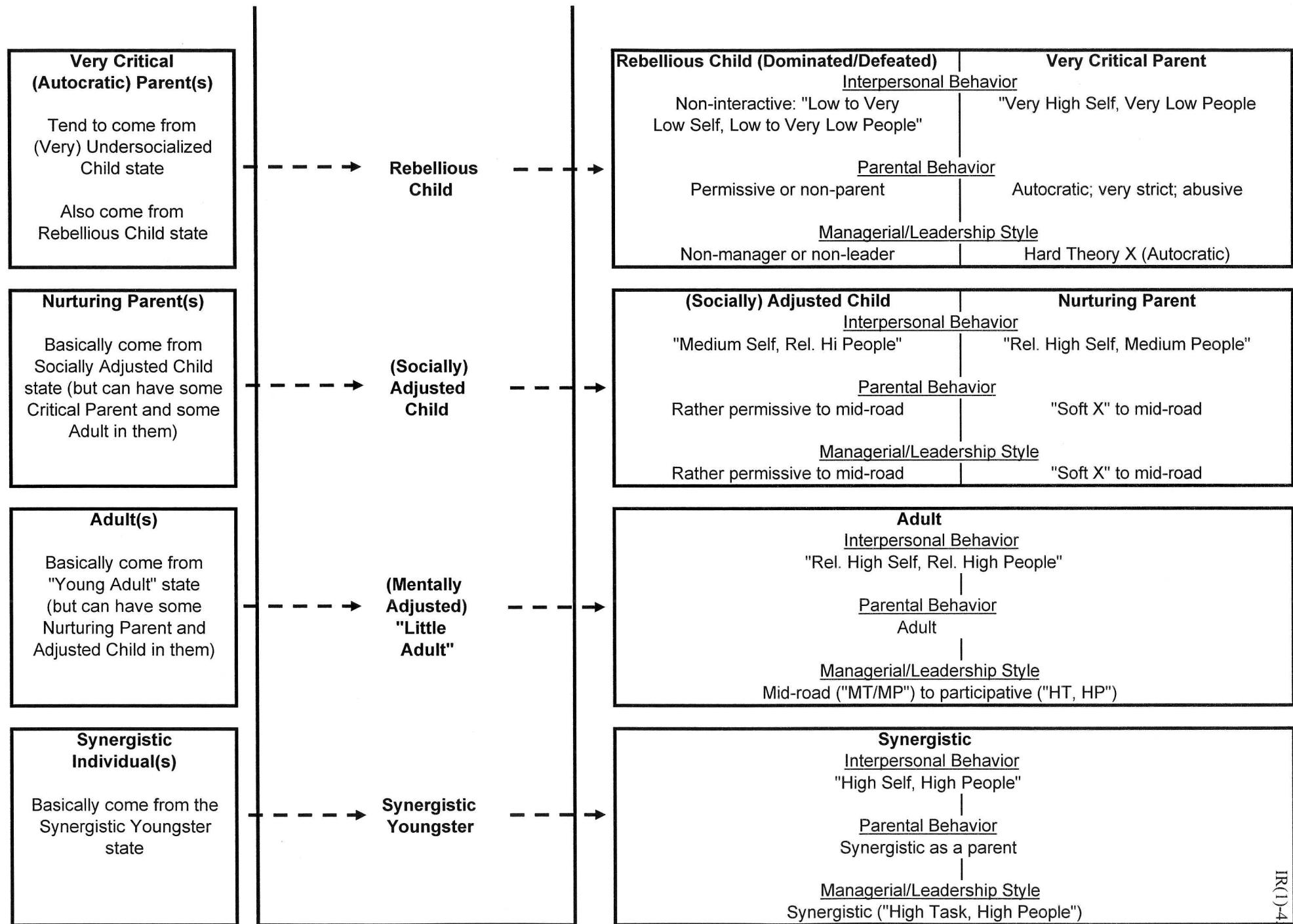
## The Undersocialized Child Sub-State

Undersocialized children have not been socialized to the extent that their social behavior can be considered socially acceptable and mature (benevolent, conscientious, adaptable, and self-controlled). As a result, they essentially remain "the child." They tend to be relatively spoiled, self-centered, selfish, self-indulgent, socially unconscientious, un-self-controlled, and irresponsible. In order to get their own way, which they have become accustomed to doing, they can also tend to be manipulative, deceitful, and vengeful.

Here we will discuss undersocialized children in general. Although we have not done so in Table D (page 32), we could divide this group into two more sub-states—"very undersocialized" and "somewhat undersocialized." In Figure 3,

**Figure 5: General Parental Influences on Children's Ego States and Behavior as Adults**





however, we do make this distinction by indicating separate positions for these two “sub-sub-states.”

The life position attitude of an undersocialized child is “I’m OK (I guess), you’re OK or not OK—depending on how you treat me.” As shown in Figure 5, this attitude develops as permissive parents (and other permissive adults) allow children to do whatever they want—whether right or wrong, good or bad. Largely as a result of not being taught to conform to generally accepted standards of social behavior, such children are often uncertain and confused about whether they are OK or not. On one hand, they may think they are OK because their parents do not punish them for doing the wrong or bad things for which other children are punished. On the other hand, they may think they are unloved and “not OK” because their parents do not appear to care about them and their behavior.

To enhance their egos, spoiled, undersocialized children tend to use mostly negative or dysfunctional measures, most of which can hurt other people. To protect their vulnerable egos, they tend to make extensive use of defense mechanisms, some of which can hurt other people.

People who come from this child sub-state tend to be relatively low in the social and benevolence values, conformity, social conscientiousness, adaptability, responsibility, self-control, and original thinking.

In terms of certain interpersonal dimensions, people operating primarily in the undersocialized child state tend to behave rather inconsistently. Sometimes they behave as though they were “one up” in status; sometimes they behave as though they were “one down.” Although they may actually be dependent, they often try to act as though they were independent. They also tend to be relatively low in self-disclosure, relatively high in emotionality and competitiveness, and high in the tendency to generate conflict (because of their selfishness). They generally hide their real expectations of people and often pretend to be intimate in order to get their own way with people.

Very undersocialized individuals tend to be lower in the low traits/dimensions and higher in the high traits/dimensions than those who are somewhat undersocialized.

Looking at Table D, note the similarities between the undersocialized child and the critical parent. They are both rather low in social and benevolence values, social conscientiousness, adaptability, social maturity, and self-control. Also, they are both emotional, competitive, and inclined to generate conflict. There are, however, some differences between them. The critical parent tends to behave in a “one up” manner while the undersocialized child tends to behave in a “one

down” manner. Also, the critical parent is more self-confident, self-assertive, and independent than the undersocialized child. These observations indicate several things: First, the critical parent is inclined to feel “more OK” than those with whom he or she is interacting; the undersocialized child feels “less OK.” Second, the critical parent probably has more power or authority than those with whom he or she is interacting; the undersocialized child probably has less.

In adulthood, the undersocialized child can remain in this sub-state under certain circumstances, but can actually become a critical parent under other circumstances. Which state an undersocialized child operates in depends on that individual’s perception of (a) his or her own degree of OK-ness relative to that of the person or persons with whom he or she is interacting; and (b) who has more power, authority, or influence.

### **The Undersocialized Child Operating in the (Undersocialized) Child State As an Adult**

When adults who are coming from the undersocialized child state feel “less OK” than the person or persons with whom they are interacting, and/or they are not in a position to get their way by exercising power or authority over him/her/them, they will tend to behave as a child state undersocialized child:

1. Their interpersonal behavior may seem to be rather submissive and permissive (“relatively low self, relatively high people”), but it is actually very self-centered and manipulative. [This generally applies to individuals who view their peers as being “more OK” than themselves. It probably applies to more women than men, mostly because, even today, women as a group are generally less dominant (self-assertive) than men. Also, it probably applies to more wives than husbands, largely because women generally play a less dominant marital role than their husbands—particularly in traditional family structures.]
2. Their parental behavior is rather permissive, especially when they are playing back the parental behavior tape that they learned from their permissive parents. [This probably applies to more mothers than fathers, since many women play a less dominant parental role than their husbands—especially in traditional family structures.]
3. Their managerial/leadership style may seem to be somewhat permissive, but it is actually self-centered and manipulative. [This applies to some female managers or leaders—especially those who have

highly self-assertive male subordinates. It also applies to those undersocialized male managers or leaders, who, for various possible reasons, see themselves as “less OK” than their subordinates and are trying to elicit positive feedback by being nice to them.]

### **The Undersocialized Child Operating in the Critical Parent State As an Adult**

On the other hand, when undersocialized adults feel that they are “more OK” than the person or persons with whom they are interacting, and/or they are in positions to exert authority and dominate or control him/her/them, they will tend to behave as critical parents:

1. Their interpersonal behavior reflects “high self-centeredness, low people-orientedness.” [In general, this applies to more men/husbands than women/wives—for the same reasons mentioned above.]
2. Their parental behavior is critical to highly critical parent behavior. [In general, this applies to more fathers than mothers, because (a) men generally play a more dominant parental role, and (b) many fathers regard themselves as being “more OK” than their wives and children.]
3. Their managerial or leadership style is “high task, low people” (Theory X to “hard X”). [For the same reasons as above, this generally applies to more males than females in managerial/leadership positions.]

In general, the less socialized (more undersocialized) an individual, the more likely that, as an adult, he or she will behave as a Critical Parent instead of a Child-State Undersocialized Child. Of those who operate in the Critical Parent State, the least socialized are the most likely to behave as a “highly critical” parent instead of a “rather critical” parent.

Before going on to the next child sub-state, we should restate a point we made earlier. (See the statement at the top of Figure 5 under “Ego State and Behavioral Tendencies in Adulthood.”) During childhood and adolescence, it is possible for a parentally undersocialized child to become more adequately socialized due to the influences of, for example, relatives, teachers, coaches, counsellors, religious leaders, and/or military leaders. As a result, the child may develop into a more socialized, compliant child — or possibly into another ego state.

### **The Compliant Child Sub-State**

People operating in this sub-state can be described as emotional, dependent, insecure, somewhat shy, highly self-controlled, and highly socialized (highly prosocial). Because they possess a highly developed conscience (super-ego), which constantly restrains the self-centered satisfaction of their own desires, they do what others want rather than what they want. As a result, they can tend to experience great emotional turmoil and conflict.

Here we will continue to discuss compliant children in general. Although we have not done so in Table D, we could divide this group into two more sub-states—“very compliant” and “rather compliant.” In Figure 3, however, we do make this distinction by indicating a separate grid position for each of these two sub-sub-states. *In general, the more highly socialized the child, the more compliant the child.*

According to Harris, these people’s view of themselves and others is “I’m not OK, you’re OK” or “You’re OK — am I?” They conform and comply so others will think that they, too, are OK. They have learned (or have been taught) to feel that other people are more skilled, are more powerful, are more in control of their own lives, are better copers, have fewer problems, and usually get the longer end of the stick than they. They see others as having authority or control over them and as being able to dispense rewards and punishments on them. Thus, they display submissiveness and deference to authority.

As indicated in Figure 5, these attitudes generally develop when a child is raised by parents who are primarily operating in the critical parent state. These parents socialize their children by dominating and controlling them. They create “I’m not OK” attitudes in their children by giving them considerably more negative (punitive, depreciating, self-image-reducing) feedback than positive (self-image-strengthening) feedback.

Individuals in the compliant child sub-state tend to use mostly negative or dysfunctional ego enhancement measures, but can use some positive or functional measures. Because they receive much more negative than positive feedback, they make relatively high use of ego defense mechanisms. Levels of specific traits associated with this sub-state include: relatively low self-confidence, self-assertiveness, and independence; high needs for support and approval; and relatively high social and benevolence values, conformity, social conscientiousness, responsibility, and self-control.

In terms of interpersonal dimensions, people operating primarily in this sub-state can be described as follows: passive in initiative; “one down” (low) in status; dependent; relatively

low in self-disclosure; rather hidden with respect to expectations; rather distant in connection (although they may want to be intimate); rather collaborative with respect to (sharing) resources; emotional; and definitely inclined to avoid conflict (by complying or conforming).

As in the case of the previous child state, adults coming from the compliant child sub-state can behave inconsistently, also. Here, too, which way they behave largely depends upon their perceptions of (a) their OK-ness relative to the person or persons with whom they are interacting, and (b) their role, authority, or influence vis-a-vis the other person or persons.

### **The Compliant Child Operating in the Compliant Child State As an Adult**

When adults coming from the compliant child state view themselves as being less OK than those with whom they are interacting (e.g., parents, superiors, older persons, those who are more skilled or knowledgeable in a particular area, or those who have more organizational or group status), and/or when they are not in a relatively dominant role or position, they tend to “play their own ego state tape” and operate in the compliant child state (as indicated in the top left corner of Figure 3):

1. Their interpersonal behavior, which reflects “low self, high people,” is submissive and permissive. [For the same reasons mentioned with respect to the previous child state, this probably applies to more women and wives than men and husbands.]
2. Their parental behavior is rather permissive to highly permissive. [In general, this applies to more mothers than fathers—for the same reasons mentioned previously.]
3. Their managerial/leadership style is permissive (“low task, high people”) to highly permissive (“very low task, very high people”). [In general, this applies to those compliant males and females who, for various possible reasons, view their subordinates as being more OK than themselves and are trying to elicit positive feedback from them.]

### **The Compliant Child Operating in the Critical Parent State As an Adult**

On the other hand, when individuals coming from the compliant child state view themselves as being more OK than those with whom they are interacting, and/or they have power or authority over them (e.g., their own children, younger peo-

ple, subordinates, less dominant people, less skilled or knowledgeable people, and those having less organizational or group status), they are more likely to play back the critical parent tape (the person in charge tape) that they learned from their critical parents. In our view, however, their playing of the critical parent tape can be moderated to some extent by their more socially conscientious and mature nature. Thus, while the behavior of some can lie within the critical parent area (and be authoritarian), the behavior of others can lie in the areas that border nurturing parent or mid-road (and be somewhat critical or authoritarian).

1. Their interpersonal behavior reflects “medium to relatively high self-orientedness, medium to relatively low people-orientedness.” [For the reasons mentioned previously, this generally applies to more males and husbands than to women and wives.]
2. Their parental behavior tends to be that of the critical parent or the somewhat critical parent. [Again, for the same reasons, this generally applies to more fathers than mothers.]
3. Their managerial or leadership style tends to be somewhat authoritarian to soft Theory X (medium to relatively high task, medium to relatively low people). [This generally applies to more male than female bosses.]

In general, the more highly socialized and compliant the individual, the more likely that he or she will behave as a compliant child rather than a critical parent. Of those who operate in the compliant child range, the most highly socialized are the most likely to be very compliant, submissive, and permissive.

### **The Rebellious Child Sub-State**

People primarily operating in this sub-state can be described as emotionally hurt, unhappy, resentful, suspicious, problematic, antagonistic, aggressive, and destructive. They rebel against (a) what others want them to do, and (b) what others do to them. They rebel openly if they can get away with it. If they cannot, they rebel more subtly and covertly.

In this state, people think “I’m not Ok, you’re not OK.” As indicated in Figure 5, this attitude is basically due to the emotionally abusive negative feedback that they have received from overly critical and strict, autocratic parents (or other authority figures). As a result of such treatment, they do not like, and have little confidence in, themselves. Also, they neither like nor trust others. Their overly strict, autocratic parents

have pushed them too hard and too far—away from the compliant child sub-state into the rebellious child sub-state.

Individuals in this sub-state tend to use negative or dysfunctional ego enhancement measures. To defend their egos against constant, harsh abuse, they also use ego defense mechanisms to a great extent.

We associate relatively low levels of the following traits with the rebellious child sub-state: conformity, benevolence, self-confidence, social conscientiousness, responsibility, adaptability, social maturity, emotional stability, and self-control. On the other hand, such people often attempt to be relatively high in self-assertiveness and independence.

In terms of interpersonal dimensions, people operating primarily in this sub-state can be described as follows: “one down” in status (but having a need to be “one up”); relatively dependent (but trying to be independent); low in self-disclosure; hidden regarding expectations; distant in connection; inclined to be competitive for resources; emotionally unstable; and inclined to generate conflict.

Looking at Table D, notice that there are numerous similarities between the rebellious child and the undersocialized child. As often happens, the rebellious child can also become an undersocialized child. This occurs when a child rebels at some point and the parents are not able to socialize him or her adequately. Notice, too, that there are similarities between the rebellious child and the (very) critical parent.

People primarily operating in this sub-state generally attempt to compensate for being put down hard as children and for having developed an “I’m not OK” self-image. Here again, however, their sense of relative OK-ness and their relative power or authority largely determine whether or not they are inclined and able to compensate.

### **The Rebellious Child Behaving in the Rebellious Child State As an Adult**

When people coming from the rebellious child sub-state view themselves as being less OK than the person or persons with whom they are interacting, and/or when they are unable to exercise control over others (or have failed in their attempts to do so), they continue to play their own rebellious child tape, operate in the lower left quadrant of Figure 3, and behave as a “(defeated) rebellious child.”

1. Their interpersonal behavior reflects “low self-orientedness, low people-orientedness” and is essentially non-interactive.

2. Their managerial/leadership style is also non-interactive—i.e., that of a non-manager or non-leader (“low task, low people”).

Note that we have not included parental behavior under this first set of behavior patterns. This is because parents who come from the rebellious child state have power over their children and tend to view them as being “not as OK as themselves.” As a result, they normally play the (very) critical parent tape when interacting with their children, and are autocratic or authoritarian parents rather than non-parents.

### **The Rebellious Child Behaving in the Critical Parent State as an Adult**

On the other hand, when such people view themselves as being more OK than the person or persons with whom they are interacting, and/or when, as adults, they are in a position to “get even” or to take their turn at exercising power or authority, they will (a) put others down in order to enhance their own egos, and (b) play the role they learned from their overly strict and critical, autocratic parents (and/or other authority figures). In this case, they operate in the bottom right quadrant of Figure 3 and behave as a (very) critical, autocratic (at least authoritarian) parent.

1. Their interpersonal behavior is compensatorily self-assertive and reflects “high self-orientedness, low people-orientedness.” [This generally applies to more males than females.]
2. Their parental behavior is autocratic (very strict, critical, and abusive). They are essentially playing the parent tape they learned from their autocratic parents (against whom they rebelled as children). [This generally applies to more fathers than mothers.]
3. Their managerial/leadership style is “hard Theory X” or autocratic (“very high task, very low people”). [Again, this generally applies to more male bosses than female bosses.]

What we have said, in effect, is that the very critical parent is usually an older but no more mature version of the rebellious child and/or the undersocialized child.

## The (Socially) Adjusted Child Sub-State

People operating primarily in this sub-state can be described as emotional, happy, adaptive, somewhat dependent, affiliative, and somewhat self-controlled. Although they have a tendency to enjoy life and other people, they do not behave entirely the way they feel like behaving. Because they have been rather successfully socialized by parents and other adults (have learned self-control by being disciplined fairly), they are not childishly or immaturely inconsiderate, disruptive, or destructive.

The life position attitude of people in this sub-state is "I'm fairly OK, you're OK." This attitude tends to result from having had nurturing parents instead of critical parents.

Having an "I'm fairly OK" attitude about themselves, people in this child sub-state tend to use some positive and some negative ego enhancement measures. Having fairly healthy and secure self-images, they tend to make only moderate use of ego defense mechanisms.

The trait levels we associate with this sub-state include: relatively high to high sociability; and above average self-confidence, self-assertiveness, benevolence, social conscientiousness, responsibility, adaptability, social maturity, emotional stability, and self-control.

In terms of interpersonal dimensions, people operating primarily in the adjusted child sub-state can be described as follows: active in initiative (extroverted); fairly equal in status; interdependent; fairly self-disclosing; rather open about expectations; intimate in connection; rather collaborative regarding resources; emotional; and inclined to avoid or moderate conflict rather than generate it.

Looking at Table D, notice the similarities between the characteristics of the socially adjusted child and the nurturing parent. Essentially the same type of individual, they differ in that the nurturing parent feels more OK and more in control than does the adjusted child. Consequently, the nurturing parent tends to be more self-confident and self-assertive.

As in previous cases, the behavior of adults coming from this child sub-state is not always consistent.

### The Adjusted Child Behaving in the Adjusted Child State As An Adult

When they view themselves as being less OK than those with whom they are interacting, and/or when they are in positions or roles having less power or authority than others have,

they will tend to play their own adjusted child tape and operate in the adjusted child area of Figure 3.

1. Their interpersonal behavior reflects "medium self-orientedness, high people-orientedness." [This generally applies to more females/wives than men/husbands.]
2. Their parental behavior is somewhat permissive to mid-road. [This generally applies to more mothers than fathers.]
3. Their managerial or leadership style is somewhat permissive to middle-road" ("medium to low task, medium to high people"). [This generally applies to more female bosses than male bosses.]

### The Adjusted Child Behaving in the Nurturing Parent State As an Adult

On the other hand, when these individuals view themselves as being more OK than those with whom they are interacting, and/or when they are in positions or roles having greater power or authority, they tend to play the nurturing parent tape they learned from their parents and to operate in the nurturing parent area shown in Figure 3.

1. Their interpersonal behavior reflects "high self-orientedness, medium people-orientedness." [This generally applies to more males/husbands than females/wives.]
2. Their parental behavior is nurturing (paternalistic/maternalistic). [While both fathers and mothers coming from the adjusted child state can be nurturing parents, fathers often play a more dominating than nurturing role—especially in traditional family structures.]
3. Their managerial or leadership style is paternalistic ("high task, medium people"). [This generally applies to more male than female bosses.]

## The Little Adult Sub-State

If the natural child is influenced by parents (and other adults) who are operating primarily in the adult state, he or she tends to develop into what we call the "little adult." (Others call this sub-state the "little professor.") Adult-state individuals encourage the natural child to be serious and studious and to "act grown up." They emphasize rationality, mental development, achievement, and academic accomplishment far

more than they emphasize people, interpersonal development, social adjustment, and interpersonal relationships. Especially if the natural child has no siblings and few playmates from whom to learn what it is to be a child, he or she can easily play the little adult during childhood and adolescent years.

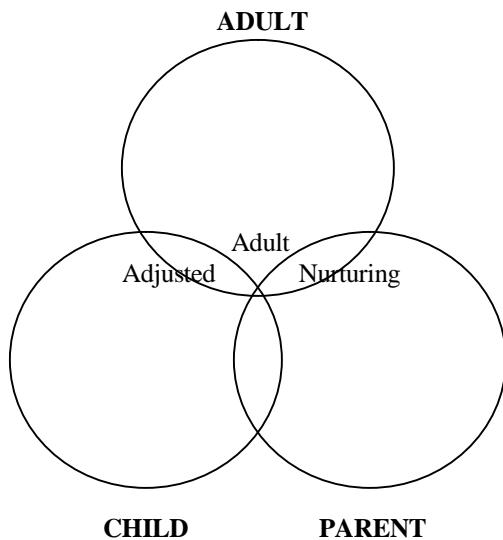
Compared to the adjusted child, therefore, the little adult is less socially developed, but is much more mentally developed (in terms of the abilities to think rationally and methodically).

In adulthood, the little adult tends to be an adult-state parent and a middle-road/consultive to participative manager or leader.

### The Synergistic Ego State

Some psychologists refer to this ego state as the “P-A-C State.”<sup>24</sup> They describe it as a healthy combination of three ego states: the nurturing parent, the adult, and the adjusted child. When it is appropriate for people operating in this state to rely on their value systems to make judgments about their own and others’ behavior, they can let their nurturing parent state take over. When it is appropriate for them to be rational problem solvers and decision makers, they can let their adult state take over. And when it is appropriate for them to let their hair down, be emotional and spontaneous, and have fun, they can let their (adjusted) child state take over.

**Figure 6: Ven Diagram of P-A-C**



Michele Landsberg<sup>25</sup> postulates that, if both partners in a marriage are operating in the P-A-C state, their interactions can be as complementary as possible. They can discuss their problems adult to adult. They can share delight child to child. They can talk over parental duties parent to parent. And they can comfort each other parent to child.

This combination of sub-states can seem to be functional and desirable for several reasons:

First: It accounts for the fact that many if not most people do tend to operate in different ego states under different sets of circumstances.

Second: It is a combination of the most mature and functional sub-states. It appears to make sense when one considers the Ven diagram in **Figure 6**. The diagram suggests that overlapping, “relatively functional sub-states” can be combined into a “more functional combination of sub-states.”

Nevertheless, we believe that the P-A-C combination of ego states does not constitute the most functional set of behavior patterns. In our view, there are at least four major problems inherent in the P-A-C concept:

First: The P-A-C combination only reflects the most functional ways in which people ordinarily behave. It does not really represent one ideal ego state toward which people can aim. This, we think, is apparent when one considers Figure 3, which is a grid-oriented diagram rather than a Ven diagram. The grid-oriented diagram indicates that none of the sub-states discussed to this point —either by itself or in conjunction with others—is the most functional and desirable ego state.

Second: We believe that the P-A-C synthesis tends to result in inconsistent behavior. For example: When coming from the adult state, a person behaves in one manner. When coming from the adjusted child state, a person behaves in another manner. When coming from the nurturing parent state, a person behaves in yet another manner. In our view, this inconsistent behavior can confuse those with whom an individual normally interacts. As a result, it can interfere with the development and maintenance of functional relationships.

Third: In our view, the belief that the P-A-C combination can work best is partly based on one highly tenuous assumption about the parties involved in an interaction or a relationship: that each party is aware of which of the three states the other party is in at the moment, and, therefore, will respond appropriately to that ego state. We maintain that, even when individuals are fairly well

trained to recognize ego states by the behavior patterns associated with them, they (a) seldom stop to think about and identify them, (b) do not always identify them correctly, and (c) do not always think about how to respond to them. Furthermore, even when they do think about them, they often have difficulty correctly identifying (a) which ego state an individual generally (primarily) operates in, (b) which he or she might also operate in under certain circumstances, and (c) which he or she might be in at the moment. In other words, we think that, even when they are well trained, most people are not expert enough in transaction analysis to make the P-A-C combination work successfully.

Fourth: It is very difficult for most people to behave in one ego state one moment, another the next, and another the next. These are the reasons: An individual has certain levels of various needs or drives, values, associated attitudes, and personality traits. These characteristics underlie a basic interpersonal orientation, a primary ego state, and a basic, fairly consistent set of behavior patterns. The levels of these characteristics do not change significantly from moment to moment, so neither do an individual's basic interpersonal orientation, primary ego state, and set of behavior patterns. Although an individual can go from one ego state to a second ego state under certain conditions (depending on whether he or she is "one up" and in control or "one down" and not in control), it is unlikely that the individual will operate in a third ego state. For example: A person who has child state characteristics, and therefore operates primarily in the child state, might operate in the parent state under certain circumstances; but we would not expect that person to operate in the adult state regardless of the circumstances. Similarly, a person who has adult state characteristics, and therefore operates primarily in the adult state, might operate in the parent state under certain circumstances; but we would not expect that person to operate in the child state regardless of the circumstances. In short, behaving in two ego states at different times is common, but operating in three is very uncommon if not unlikely.

Fifth: Given the points raised above, we maintain that no single ego state or sub-state described above involves behavior that is capable of developing children and other individuals (such as subordinates) both mentally and socially to the extent possible. Each by itself falls short in one area or another. For example: Adjusted child state behavior does not develop the rationality and mentality of the adult. Adult state behavior does not develop the sociability of the adjusted child. And nurturing parent state behavior, which does contribute to both mental and social development, does not maximize either. Even us-

ing the nurturing parent, adjusted child, and adult all together—which is difficult to do successfully—is not fully capable of maximizing others' development.

For these reasons, we would rather think in terms of what we call "the synergistic ego state" than in terms of the P-A-C combination of ego states.

## Adults in the Synergistic State

We describe people who operate in this state as follows:

- A. They are highly socialized and highly developed mentally.
- B. They purposefully control their egos and strive for self-actualization.
- C. Because they understand and like themselves and others, they have healthy, accepting, mature attitudes about themselves and others. Their life position is one step beyond that of the adult: "I'm OK, and you're OK. Even so, neither of us is perfect. But by working together and sharing our knowledge, feelings, attitudes, and skills with each other, we can develop the most functional relationship possible and can both become what we have the potential to become."
- D. They are socially mature. Their relatively high levels of prosocial values (social and benevolence values) and social conscientiousness are balanced by a relatively high level of adaptability (the ability to think honestly, realistically, and fairly about oneself and others).
- E. Like all human beings, they have emotions. But when their emotions might result in physical or emotional harm to others, they are guided by their prosocial inclinations and exercise self-control.
- F. When analyzing situations, solving problems, and making decisions involving their own and others' behavior, they use their heads and take a calm, rational approach. Nevertheless, they fully consider their own and others' needs, values, and feelings when doing so.
- G. They take life, themselves, others, and their relationships with others rather seriously. Even so, they are good-natured and not always so serious that they cannot occasionally relax and enjoy life.

H. Just as they themselves are well socialized, well developed mentally, well adjusted socially, and otherwise well-rounded, they conscientiously develop others (e.g., their children and subordinates) in a well-rounded manner.

In short, those operating in the synergistic state do not jump around among various ego states. Instead, they behave in a more consistent manner. They are constantly aware of and sensitive to—and always consider and deal with—the rational, value-related, and emotional content of interpersonal situations. Put another way, their attitudes and behavior are governed by their hearts and their heads.

People who primarily behave in this more mature and more fully developed or adjusted manner tend to be self-actualizing. They use more positive than negative ego enhancement measures. They make some use of ego defense mechanisms, but are careful not to use the ones that hurt other people (e.g., aggression and projection of blame).

These people tend to be relatively high in the following specific traits: self-confidence, benevolence, social conscientiousness, responsibility, adaptability, social maturity, original thinking, emotional stability, and self-control. They tend to be above average to relatively high in self-assertiveness and decisiveness.

People who consistently operate in this state have developed functional interpersonal dimensions. They are: active in initiative; equal in status; interdependent; self-disclosing; open with respect to expectations; intimate in terms of connection; collaborative with respect to resources; emotionally stable; and inclined to moderate conflict.

People having a healthy, mature, well-rounded personality also have an interpersonal style that reflects “high self-orientedness, high people-orientedness.” As parents, they tend to be highly interactive and developmental. Of all the types of managers or leaders, they are the ones most inclined to be participative/developmental, team-oriented, Theory Y, or “high task, high people.”

## The Synergistic Youngster Sub-State

If the natural child is influenced and developed by those who consistently operate in the synergistic state, he or she will tend to become a synergistic or well-rounded youngster. Compared to the compliant child (who is highly socialized), to the adjusted child (who is socially adjusted), and to the little adult (who is mentally developed), the synergistic youngster is well-rounded in terms of socialization, social ad-

justment, and mental development. As a result, this young person is the most likely of all to become a synergistic individual as he or she matures into adulthood.

Children in other sub-states, however, also have the potential to become synergistic as they mature. Here are several examples:

First, take the child who is primarily being socially adjusted by his or her parents. If this child is adequately socialized through the influences of other adults, and if he or she experiences the mental development that can result from being educated by teachers or professors operating in the adult state, then he or she can develop many of the skills, values, attitudes, and personality traits that are basic inputs for becoming a synergistic adult.

Second, take the child who is being mentally developed by parents operating primarily in the adult state. If this child is adequately socialized through the influences of other adults, and if he or she is exposed to peer groups consisting of congenial, socially adjusted children, then he or she can develop many of the basic inputs for becoming synergistic.

Third, take the child who is being highly socialized by parents operating primarily in the critical parent state. If this child develops a more healthy self-image through the influences of other adults, if he or she experiences mental development through the influences of teachers or professors operating in the adult state, and if he or she is exposed to peer groups consisting of congenial, socially adjusted children, then he or she can also develop many of the basic inputs for becoming synergistic.

In concluding this section, we must point out again that we have been discussing distinctive ego states and the people who primarily operate in one or another. For the most part, we have been making some rather broad generalizations. In reality, ego states are not always this clear cut and easily distinguishable. This is largely because people—and their needs, motives, attitudes, and personality tendencies—are so complex. Their behavior very often reflects swings between different states. Thus, one should not necessarily attribute one single ego state to any particular person. Instead, one should try to identify the levels of another individual’s needs, values, and behavioral tendencies in order to determine (a) that person’s primary ego state, and (b) whether that person is operating in the primary state or another state at the moment.

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