3.1. The ‘parts’ in relation to the whole

Interpersonal communication appears to be as complex as the web of life that creates it. All its apparently distinct facets are mutually interwoven, as is the case generally with living systems. As Fritjof Capra put it,

The great shock of twentieth-century science has been that systems cannot be understood by analysis. The properties of the parts are not intrinsic properties but can be understood only within the context of the larger whole. ...Ultimately - as quantum physics showed so dramatically - there are no parts at all. What we call a part is merely a pattern in an inseparable web of relationships. (my italics)

This suggests to me a kind of “double bind” in that any model of interpersonal communication that is accurate will probably be unintelligibly complex, and any model that is simple enough to be understood will probably be wrong. (Perhaps this is why Lao Tsu is said to have remarked that those who know do not say and those who say do not know.) It is certainly the case that the more accurate quantum physics has become over the decades, the less intuitive sense it makes to the physicists who use it. It remains to be seen, in relation to interpersonal communication, how much of a middle ground there may be in which the building of conceptual models will be fruitful.

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54 ibid., 37.
Six Dimensions is my effort to make the complexity of interpersonal communication intelligible, at least to myself and hopefully to some others, by showing what have previously been described as ‘parts’ in relation to one another. The Six Dimensions/Five Transformations model suggests that we look at communication as a network of interwoven connections between three different self-reinforcing spiral processes:

- One, a spiral of interacting processes within a person, as shown in Figure 3.1, below, that includes
  1. experiencing (perceiving, thinking, feeling, wanting, envisioning)
  2. intending (formulating and committing to goals and next steps)
  3. acting and interacting (from the perspective of the active person)
  4. shaping one’s actions in accordance with a particular style
  5. self-observing and exploratory self-questioning
  6. using, revising and creating inner resources (models and stories)

(Also, see Figure I-1 on page 15)

- Two, a spiral of self-reinforcing interaction between people (see Figure I-2 on page 16), and

- Three, a spiral interaction among the various contexts and time frames of human action in general and interpersonal communication in particular (see Figure I-3 on page 17).

Although I see these three spirals of interaction as always interwoven, the amount of detail involved in documenting each one requires that I describe them one at a time. In this study I will focus primarily on the first spiral, a circular pattern that can be imagined as linking together the six families of processes mentioned above, as illustrated in Figure 3.1, below.

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55This issue is discussed at length in Werner Heisenberg, Physics and Beyond: Encounters and Conversations, tr. Arnold J. Pomerans (New York: Harper, 1972), for example, 210.
Figure 3.1. The first spiral of the Six Dimensions/Five Transformations model.

The balance of this chapter presents an overview of these six possibility dimensions or “menus.” The next six chapters discuss each of these in turn. In the concluding chapters I will explore some connections between moment-to-moment interpersonal communication and long-term processes of human development.
In the formulation of this model I have woven together the categories of experience that are expressed or implied in a wide range of action-facilitation texts, the most important of which I will review later in this chapter. I have also been greatly encouraged by the work of the cognitive anthropologist Roy D’Andrade, who has sought to understand the fundamental categories used by people around the world to understand their subjective experience. Although D’Andrade refers to these categories as a “folk model” of the mind, I think the term “first-person model” would be a more neutral term that does not imply a judgment on the representative accuracy of the categories. (D’Andrade himself does not intend the label, “folk,” to imply “superstitious” or “simple-minded” although some writers use the term in that way.) I will refer to D’Andrade’s work at several key points in my exposition.

3.2. The Six Dimensions/Five Transformations model
sorts the complexities of human communication and action
into six clusters of related actions

The model sorts various aspects of human communication and action into six overlapping and interacting dimensions and arranges the dimensions into a dynamic spiral. Because each dimension has many individual items in it I occasionally use the “menu” metaphor to dramatize the way conversants create their conversations by a complex process of selecting and combining. I believe that it is both revealing and productive to view communication between people as the interaction of two or more such individual six-armed spirals, as diagrammed in Figure 1-2 on page 16. (I also believe that the dynamics represented by the Six Dimensions model of conversations repeat at the levels of situation, relationship, evolution of personhood, and community/organization building, as suggested by the multi-layered flow chart, Figure 1-3 on page 17. Unfortunately, marshaling the arguments and evidence to support this “fractal” contention would require many additional chapters, so while I can lay out some of the groundwork, I will not be able to explore the fractal theme in this study as deeply as I would like.)

In the following pages I describe each of the six dimensions, and then discuss the various scholarly works that influenced me to group and arrange the information in this way.
Dimension 1. Experiencing, understood as including at least the following five dimensions:

1. **perceiving** (often the behavior of another person) -- what I am seeing, hearing, touching -- a simple description of the sensory facts without evaluation

2. **emoting** -- the emotions I am experiencing, such as joy, sorrow, fear, delight, anger, regret, etc. -- my emotional response to item #1, above, in the light of item #3, below.

3. **interpreting, evaluating, associating and remembering past wants** -- evaluative processes that support and shape my emotional response including the tangible effects of an event or behavior on me or my interests

4. **wanting, hoping, wanting to request** -- what I want now in terms of action, information, conversation, promise and/or emotional support

5. **envisioning** (anticipating results) -- what good situation do I imagine will come about if I get what I’m wanting

Dimension 2. Intending (intentions and goals) in the following hierarchy of contexts.

- conversations
- situations & projects
- relationships
- the unfolding of one’s personhood
- community building

In the overall scheme of human functioning, the forming of intentions seems to be a way of translating experience into action. Intentions bring together wanting to do something, some degree of imagining and understanding both the goal and the steps to achieve it, and a subjective sense of commitment to achieving it. Of these various elements, commitment seems the hardest to conceptualize. Following the approach described by Rom Harré in *Personal Being*[^56], one might imagine a

commitment as a promise made to oneself, that is, the interiorization of the interpersonal process of promising. (My only reservation about this approach is that I’m not sure how well we understand the process of promising.)

**Dimension 3. Acting and interacting.** A separate palette of possible actions and interactions exists for each of the contexts listed above in Dimension 2. Examples in conversation would include speaking, listening, asking questions, using body language, raising or lowering one’s voice, etc.

**Dimension 4. Style or method of acting and interacting.** Whereas all forms of acting and interacting are conceived of as verbs (speaking, listening, etc.), the styles are conceived of as adverbs (carefully, recklessly, skillfully, wisely, compassionately, etc.). As the philosopher Rom Harré notes, by imposing a style on our actions we act on our own actions, an important reflexivity in the process of being human. I believe that the verb/adverb distinction is both totally artificial and profoundly useful, like latitude and longitude lines. From the third-person point of view a process and its qualities are inseparable, but from a first-person point of view the distinction opens up many new possibilities of action. Alerted to a range of possibilities, I may be able to perform the ‘same’ action in a wide variety of different ‘ways.’ The verb/adverb distinction allows those who make it to orient themselves toward particular points in a more richly differentiated spectrum of possible actions.

**Dimension 5. Self-awareness and self-questioning.** By paying attention to how we pull various skills, actions, styles and mental resources together to create conversations, social interaction and task performances, we can learn more from our experience and action, and grow in skill, awareness and resourcefulness. Learning to engage in exploratory self-questioning can be a key element in this process of adopting the participant-observer stance. According to Robert Kegan, the capacity to observe oneself is the central axis of human personality growth.

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57Ibid., 193.
58Robert Kegan, *In Over Our Heads.*
Although Kegan expresses some doubts about whether such self-awareness can be taught, other writers\(^{59}\) (and other cultures\(^{60}\)) have developed and are developing traditions of systematic self-observation.

**Dimension 6. Creating, using and revising inner resources**, conceived of as including the utilization of the following processes of remembering and pattern perceiving:

- plans and mental ‘scripts’ \ which I / conversations
- images and metaphors \ view in / situations & projects
- skills, roles and rules \ the / relationships
- stories and paradigm examples / context \ unfolding of personhood
- maps of self, other and situation / of \ community building

These overlapping kinds of inner resources are, by and large, the subject matter of cognitive psychology\(^{61}\) and of the new, narrative-oriented psychotherapy\(^{62}\). Although for convenience I have described the above inner resources using familiar nouns such as “plan” and “map,” I understand all of these to be flowing processes of pattern perceiving and remembering, thus “planning” and “mapping” would be more accurate. (One major problem that I face is that so many of our ideas about how people function represent processes that have been mentally transformed into thing-like entities.\(^ {63}\) It would be more accurate to speak of “utilizing selectively remembering for planning my interacting” than to speak

\(^{59}\) Schön, *The Reflective Practitioner*.

\(^{60}\) Observing one’s own thought processes has been a central feature of Hindu and Buddhist meditation for many centuries; for example, the Vipassana tradition in South Asian and Tibetan Buddhism. Within Western culture the spiritual exercises of St. Ignatius of Loyola contain large elements of self-observation (according to informal conversations I have had with Jesuit priests). The existence of such exercises may count against Kegan’s point, but the difficulty of such exercises may actually support his contention that self-observation is an organic development within the human personality that cannot be taught by short-term methods.


\(^{63}\) This problem is a topic of long-standing interest in the school of thought known as General Semantics and in one of General Semantics’ partial ‘descendants,’ Neuro-Linguistic Programming. See
“using a mental script to guide my actions.” But the tradition of reification is so well established in our culture that I believe you will agree that first version, while more accurate, is almost unintelligible. My solution to this dilemma is to muddle through, using verbs and adverbs as often as possible consistent with producing readable text.)

Figure 3.2. A “spiralling-ribbon” drawing of the Six Dimensions.

3.3. These six dimensions represent one possible way to divide up the seamlessly interwoven totality of human functioning.

The Six Dimensions represent approximate distinctions. Just as there is no actual dividing line that separates the arm from the torso (the muscles of the arm go deep into the torso, or the muscles of the torso go deep into the arm, however you like), and yet we can distinguish an arm from a leg; similarly I propose, following the main direction of

cognitive psychology in regard the “modularity of mind” issue,\textsuperscript{64} that we can make useful distinctions between intending, acting, self-observing, etc., even though they are deeply interwoven. I believe that these six distinctions are useful because they highlight aspects of a totality that is too large to grasp all at once (our own functioning). Like a person walking around a statue, we gain knowledge of an object from a succession of partial views, each one of which relies on all the others as context. And as John Shotter,\textsuperscript{65} argues, it is not the case that such a statue would simply send us information. We ourselves generate information by the way we move in relation to an object, or shift perspectives in relation to bodies of knowledge. Each of the six dimensions proposed represents an angle from which we can view and understand the other five and the interaction of all.

Furthermore, although these six kinds of human functioning can interact in an infinity of ways, for pragmatic purposes I would like to draw you attention to one possible pathway of interaction: the circular pathway portrayed in Figure 3.1, above. I believe that this particular pathway offers the greatest possibilities for the facilitation of new awareness and action. The circle of arrows represents a kind of “epistemological walkabout,” a circular meta-story that contains a systematic sequence of changes of perspective. I see this as one way of encouraging the difficult-to-cultivate process of self-observation. (The Six Dimensions/Five Transformations diagrams (Figure 3.1., above and see diagrams at the end of the Introduction) were inspired by, but are significantly different from, the “awareness wheel” developed by Miller, Wackman and Nunnally\textsuperscript{66} over the span of several books on interpersonal communication.)

From a third-person point of view, the causal assertions embodied in Figure 3.1. represent commonplaces of modern psychology, psychotherapy and/or common sense:

1. That we use mental models to transform the raw data of sensation into conscious experience.
2. That we respond to our experience by forming intentions, which we fulfill

\textsuperscript{64}For an exposition of the “modularity of mind” point of view, see Marvin Minsky, \textit{The Society of Mind} (New York: Simon and Schuster, 1986).
\textsuperscript{65}Shotter, \textit{Conversational Realities}, 58.
\textsuperscript{66}The most recent and comprehensive of which is Sherod Miller, Daniel Wackman, Elam Nunnally and Carol Saline, \textit{Straight Talk} (New York: Signet, 1982). I object to the authors’ attempt to trademark their observations about human functioning.
by engaging in particular actions, carried out in particular manners.

3. That paying attention to our performance is a crucial element in improving our performance.

4. That changing the stories and metaphors we use to interpret people and the world will change our experience of people and the world.

3.4. The Six Dimensions/Five Transformations model is intended to help people imagine their own interactions and imagine new interactions.

As the assertions just noted suggest, the usefulness of this model is not that it reaches some new conclusions about what causes what in human functioning, viewed from the outside. I propose that the model is useful because it draws our attention to what supports and facilitates what as we interact with others, viewed from the perspective of the active participant. It organizes a variety of ideas about human functioning in a way that might help a person imagine their own functioning and imagine new actions and new ways of interacting.

In aiming for such a goal, I am trying to bring together four fundamental themes from the work of four major psychological theorists of recent decades: Kenneth Gergen, Robert Kegan, Carl Rogers and Rom Harré.

Gergen appeals to social researchers to transform the societies they observe by illuminating previously unseen possibilities of thought, language and action. As he puts it, “In the transformative mode, the principal aim of research is to vivify the possibility of new modes of action.”

Kegan asserts that the capacity to observe more and more of one’s own functioning is the central axis of human personality growth. In his two most recent books on human development, Kegan argues that over the course of a lifetime we are first rooted in and then become more aware of, in succession, our sensations (infancy), our feelings (childhood), our thoughts (adolescence), our relationships and social roles (early adulthood), our capacity to create values and meaningful narratives that can hold together

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68Ibid., 61.
69Kegan, In Over Our Heads, and The Evolving Self.
families and organizations (middle adulthood), and, for some individuals, our capacity to understand the interplay between different value systems and families of narratives (later adulthood). According to Kegan, our struggle to bring our own inner activities and capacities into conscious focus is one of two central dynamics of human development. (The other is the struggle to reconcile our need to assert our own integrity with our need for close relationships.)

How is it that we bring our inner processes into conscious focus? Rogers takes the very interesting position that consciousness is created by symbolization: “To use Angyal’s expression, consciousness (or awareness) is the symbolization of some of our experience. Awareness is thus seen as the symbolic representation (not necessarily in verbal symbols) of some portion of our experience.”

Behind this idea is another idea that Rogers explains in the same monograph: that much of what a person experiences as a living organism never gets to the part of the brain that provides us with awareness. In order for an experience to become conscious, we must, according to Rogers, find some way of putting it into symbols. Although Rogers does not go into more detail in this essay, it is clear from the context that the symbolic representations he is thinking about are usually words, sentences and conversations, but they could be (and perhaps for some people, must be) images, melodies, carvings or movements in dance, i.e., the whole range of human artistic expression. (Life needs art!)

And finally, Harré argues that we become persons by adopting our culture’s theory or model (symbolization!) of personhood. Becoming a person, according to Harré, is a social process that cannot be reduced to the biology of being an animal or elevated to the ontology of being an incarnate and enduring self or soul. Along with moving through a physical world, Harré explains, we move through a social world that is constituted entirely by agreements: languages, customs, educational systems, family traditions. All these are contingent. They could have been different if history had unfolded in some other way, and they would be different for a person born in another country. We come to play the roles that other people expect of us within a given culture, and thus we also come to think about ourselves using the categories (symbolizations, again) that other people use to think about us.

From Harré’s point of view we need models of personhood in order to become persons. But this suggests to me that we are at the mercy of the richness or poverty of our culture’s model of personhood. Harré’s approach raises many questions in my mind. Who is responsible for keeping those models of personhood in good repair? How much are we “stuck” with the culture into which we were born? If one’s cultural model does not include the stages of self-awareness described by Kegan, will a person ever get to them? (Few will, I imagine.) Is it possible for a culture to lose it’s soul, i.e., simply lose track of it’s model of personhood? (I think so. Colin Turnbull’s *The Mountain People* describes the unraveling of a culture in Africa.) In pluralistic societies, how does one take any given model of personhood seriously enough to embody it? And if one’s culture becomes disoriented, as in such cases as Nazi Germany, Cambodia or Rwanda, (or in a less dramatic way, consumerism-bedazzled America) how does one find the strength to resist the disorientation? (History is not encouraging on this point.)

If there is no essence of being a person, either genetic or spiritual, that will guide our development, and there is no guarantee that our culture will guide our development toward human fulfillment, it seems to me that there is still hope for us because we can raise the issue of models of personhood to a conscious level. We can take a more conscious, active role in investigating the possibilities that are open to us and choosing the kind of person we want to become. This would be a considerable challenge, but it is not as though there are a lot of easier alternatives.

My labor to understand what each of these four ideas implies for all the others has led me to the following chain of inferences:

(1) If the central direction of human development is a growing awareness of one’s own functioning (thoughts, feelings, actions and interactions, then patterns of thoughts, feelings, actions and interaction, then meta-patterns, etc.) and,
(2) if such an awareness of one’s own functioning is created by symbolization (storying, modeling, imaging, naming) and,

(3) if, therefore, our development as persons is limited by the richness or poverty of our culture’s models of personhood and self-awareness, then,

(4) it is worthwhile to try to build richly-elaborated, symbolic models of self-awareness, communicative action and personhood in order to support and encourage people to make the essential journey of full human development.\[71\]

(5) And, furthermore, if the purpose of post-modern theorizing and model-building is to illuminate the possibility of new modes of action, as Gergen suggests,

then such symbolic models of self-awareness, action and personhood would be more helpful if envisioned from the first-person, active agent (‘I’m doing this. How could I do it differently?’) perspective, and expressed in a vocabulary of healthy functioning and development.

In developing the Six Dimensions model I am seeking to create such a model, using the most insightful resource material I can find and anchored in the activity of communication training.

These themes: awareness, self-observation, new possibilities of action and interaction, model building and personhood, all enfold one another in complex ways because self-observation itself would be a new form of action for many people, and building or studying a model of self-observation can itself be a beginning form of self-observation. Also, Six Dimensions is a mental model that includes a rudimentary mental model of mental models and hence includes itself.

In defense the naturalness of such circularity, I would argue that ordinary

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\[71\] It seems clear to me that some novels fulfill this function. It also seems to me that something parallel to this was at work in the emergence of humanistic psychology in the 1950s and 1960s.
conversations quite often include commentaries on themselves, meta-communicative remarks about how the conversations are going or where they should go next. And one can easily imagine an autobiography that contains a chapter in which the author struggles to understand and write his or her life story.

The greatest single difficulty that I see in using a spiral, self-referential model as a teaching aid is that such a model requires that a person think simultaneously on different levels of abstraction, which can create a “hall of mirrors” feeling of disorientation. The circular diagram I have drawn includes self-observation as part of self-reinforcing spiral of (1) experiencing, (2) intending, (3) acting, (4) acting on one’s own action through adopting a style of action, (5) self-observing, and (6) mental model building-using-revising, that continues around the spiral by shaping (1)experiencing, and so on. As you look at the diagram, you are, in effect, observing a picture of someone who is already engaged in a process of self-observation and who could be you. Now I happen to believe that this vantage point is a very creative and instructive one. It is the position of “sand tray work” (play with figurines in a tray of sand) in psychotherapy. And it is the point of simultaneous participation and observation that the social psychologist Thomas Scheff sees as facilitating the process of catharsis.\(^{72}\) So it is a vantage point that I would like to see everyone explore.

But as Kegan suggests in relation to new forms of family therapy that encourage clients to adopt a systemic level of observation, introducing multiple levels of abstraction or nested inclusions into a model can push it beyond the grasp of many people.\(^{73}\) I believe that self-enfolding circularities are an important, creative, powerful part of being human (in spite of the fact that they may pose intractable logical problems\(^{74}\)). The whole idea of sense-of-self is circular. The difficulties of self-observation notwithstanding, Kegan holds that we create ourselves by observing and reflecting on more and more of our own inner processes over the course of a lifetime (and thus become able to think


\(^{73}\)Kegan, *In Over Our Heads*, 241.

about our own thinking). Harré suggests that we become a person by adopting our culture’s theory or model of what it means to be a person, and then by acting on our own actions (cultivating a style of action) in accordance with that theory. But in spite of high value that these theorists place on a fundamentally reflexive approach to being and becoming human, it remains to be seen if the model of self-referential awareness and action I am proposing will be of much help to people, or whether it presumes too much of the seeing-at-several-levels skill that it is trying to teach. The ongoing challenge will be to find ways to make it accessible.

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Table 3.1. Resources for an integrative model of awareness, communication and action

75Rom Harré, Personal Being.
3.5. The ideas integrated by Six Dimensions/Five Transformations model

The Six Dimensions model includes ideas and insights from a wide range of authors, as shown in Table 3.1., above. The books and authors used as primary sources of information for dimensions or ‘menus’ One through Six are discussed in each of the next six chapters. As I mentioned earlier in my introductory chapters, when people arrive in a communication skills class, they bring their entire lives with them. This table summarizes the resources upon which I am drawing in order to respond to those lives.

These lists of references emphasize interpersonal communication because that is the primary activity I wish to facilitate. But the lists also includes general works from psychology and the social sciences. As Littlejohn’s summary of human communication theory demonstrates, to make sense out of human communication requires that we view communication as part of the totality of being human as understood through psychology, philosophy, anthropology, etc. This is the “hermeneutic circle” of the whole explaining the part and the part explaining the whole, (which, according to anthropologist Clifford Geertz, plays a large role in our understanding of just about everything). In the case of interpersonal communication, there are strong arguments to the effect that it, communication, is quite a large part of the whole. In the following chapters I will explain the key ideas that the various works noted in Table 3.1. have contributed to the Six Dimensions model.

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76Littlejohn, Human Communication Theory.