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# A Psychological Assessment of Homeless Men

A Dissertation

Presented for the

Doctor of Philosophy

Degree

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Joseph Anthony Kot

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ABSTRACT

This study examined the characterological differences between a sample of homeless men living in the Knoxville area, and comparison samples of chronically mentally ill men from a state psychiatric hospital population, and chronically indigent men. These differences were quantified using standard psychological assessment devices.

Data from 20 homeless men, 10 chronically mentally ill men and 10 chronically indigent men were collected using the Draw-A-Person Test, the Minnesota Multiphasic Personality Inventory, the Wechsler Adult Intelligence Scale - Revised, the Thematic Apperception Test and the Rorschach Inkblot Technique. Assessments of object relations development based on the Rorschach data were obtained using the Concept of the Object Scale, while the Social Cognition and Object Relations Scale provided data from the Thematic Apperception Test stories. Demographic and historical data were also collected using semi-structured interviews.

A number of significant differences among the groups were found on several of the measurement variables, including the Minnesota Multiphasic Personality Inventory, the Wechsler Adult Intelligence Scale - Revised, the Thematic Apperception Test and some of the demographic and historical data. The clinical configuration formed by the

data suggest that the homeless group members were, on the average, were more like the indigent comparison group in terms of cognitive functioning and specific aspects of object relations development than the psychiatric comparison. This was reflected in some of the demographic and historical variables, particularly the history of interpersonal relationships variable.

It was tentatively concluded that there was a stable difference between the homeless and comparison groups at the characterological level, but that further investigation is warranted.

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# CHAPTER I

## INTRODUCTION

The plight of the homeless has received considerable attention from the mass media and popular press. Estimates of the number of homeless range from 250,000 - 350,000 (HUD, 1984) to nearly 3 million (Housing Now!, 1991), or over 1% of the estimated 1990 population of the United States. Observers hold that these numbers continue to grow, that homelessness is now near-epidemic in its proportions (Wright, 1989), and that the quality of life for the contemporary homeless population is worse than for their counterparts in past decades (Rossi, 1989; Wright, 1989).

Professional psychology journals contain comparatively few articles about these people, however. This is particularly true of the clinical psychology journals, as those who write for these journals have all but ignored the homeless. Although the reasons behind this failure to attend to this issue are manifold and varied, it seems reasonable to assume that clinical psychologists have fallen prey to the most popular view; that the homeless are a homogenous group, comprised principally of chronically schizophrenic people discharged from mental hospitals as a direct result of the

deinstitutionalization movement (Bassuk, 1984; Mowbray, 1985). From this viewpoint the clinical psychologist is likely to believe that the proper study of this group is the province of community psychiatrists, sociologists, social psychologists, and social workers. Indeed, the vast majority of work published on this subject consists of community psychiatry articles discussing intervention strategies for the homeless mentally-ill, and social science articles reporting estimates of the current number of homeless people and demographics of the homeless. A relative few professional articles about the homeless (Mowbray, 1985; Nooe & Lynch, 1986; Roth & Bean, 1986; Snow, Baker, Anderson & Martin, 1986) have challenged the stereotype of homogeneity and chronic mental illness in this population.

The aim of this research is to psychologically study the homeless population of Knoxville, and compare and contrast them with institutionalized mentally-ill people and economically disadvantaged people. These comparison groups were selected on the basis of the frequency with which these appellations were used to describe the homogeneity of the homeless population. This research should elucidate any differences between the homeless and comparison groups at the characterological level, a factor unavailable through survey methods.

By attempting to provide information as to the differences between the homeless and the comparison groups in characterological terms this information could make possible the tailoring of services availed to the individuals in the homeless population, based on factors congruent with their personality structure and style, rather than on assumptions about "needs". It might also become possible to design more useful and effective interventions and implementation strategies for those members of the homeless population that normally refuse help, or that are missed by the usual means of service delivery.

Before describing the study, a short historical review of homelessness will be presented, followed by a selective review of the literature attempting to study or characterize homeless in psychological terms.

## Historical background

Social and political notice of the homeless, called vagabonds or vagrants in past history, was probably first taken in England's High Middle Ages. At that time the beggar's life was idealized and equated with the spirituality of St. Francis, who taught that beggars were holy and that the holy should live as beggars. The more contemporary view of the homeless began to develop by the 1300's, when vagabondage, intentional unemployment, and

certain types of poverty were seen more as signs of moral weakness than of spiritual enterprise (Beier, 1985). It is not difficult to find this view today; it has been amply demonstrated in the campaign rhetoric of two presidential elections in the 1980s, and continues to live as a number of "common sense" myths (Mowbray, 1985; Lee, Jones & Lewis, 1990).

Since the High Middle Ages the majority of what has been written about vagabonds and vagrants (now called "street people" and "the homeless") has been either political or legal, and has centered alternately on providing employment and relief for this group (Crouse, 1986), or on providing rationales for the civil authorities to forcibly remove them from an area (Wright, 1989). Little evidence of scientific attention and very little scientific writing about this group can be found until after the turn of this century.

One of the earliest scientific publications about the homeless was Anderson's (1923) sociological study of Chicago's hoboes. This book primarily described the day to day existence of the hobo, but also attempted to look at the character of such men. The personality descriptions in Anderson's book appeared derived largely from Adler's (1917) study, which ultimately diagnosed all the unemployed men in the study as "paranoid personality" (43%), "inadequate personality" (meaning mentally

defective or feeble minded, 35%), or as "emotionally unstable" (22%). There was no further specification as to the homeless or vagabond status of Adler's subjects. While it is unclear if Anderson's book established the direction scientific inquiry into this subject area would take for the next four decades, it seems that the vast majority of publications about this subject followed his lead. Most papers and books about hoboes, and eventually the homeless, focused on the sociological aspects of these people, rather than on the individual characters of that population. Except for a brief surge of interest in this area around the time of the Depression and World War II, the volume of research on this group has historically been quite low. This appears to be an effect of science's own disaffiliation with these disaffiliated men and women. This situation began to change in the mid to late 1950's and early 1960's.

The increase in science's, particularly psychology's, interest in this group seems tied to the increase in the popularity of the deinstitutionalization movement. With the advent of widespread phenothiazine tranquilizer availability and use came a sudden increase in the number of homeless, unemployed people living on the streets. These former psychiatric patients lacked the survival skills and "street sense" of Anderson's hoboes, which only compounded the former patient's problems, and ultimately,

society's problems. Up to that time the homeless vagabond was generally self-sufficient with respect to obtaining food and shelter. These former psychiatric patients, on the other hand, had always been completely dependent upon others for such provisions. That they were not always taught useable survival skills in their deinstitutionalization programs simply added to their problems, and brought into focus one of the flaws of a movement whose original intentions were considered benevolent. The impact of this group on the homeless population is well noted in the literature; virtually all articles reviewed for this study make some reference to the deinstitutionalized psychiatric patients, either in the title or in the abstract.

As before, the homeless were still a "slow" topic for the scientific journals. For the first 11 of the past 15 years there have been as few as none, and as many as five articles published each year about the homeless. This changed dramatically in the mid 1980's, when both the popular press and the social scientific journals began to take notice of the problems of the homeless. The peak of scientific interest appeared between 1984 and 1987 when about 100 articles were published, with 72 published during 1985-6. The frenzy of scientific writing has slowed since that peak, and only one article was published in the first six months of 1988. There has been a recent

surge in the number of articles again, as a declining U.S. economy has increased the number of homeless via unintentional unemployment and subsequent loss of domicile.

In keeping with Anderson's lead, most of the more recent articles were in the social psychology or social work journals, with frequent contributions from the community psychology and community psychiatry journals. As implied in the opening section of this chapter, very few of these articles attend to the personalities of the individual homeless people except as noted previously.

The position of the present research, that the homeless population is heterogeneous and comprised of individuals rather than a static "group" or "type" of people, requires qualitatively different information of greater depth, rather than an even more finely detailed demographic study. Psychological studies of the personalities of the individuals that comprise the homeless population would provide this information and allow for differentiation of this population from the general population and from the stereotypes routinely applied to this population in a meaningful and useful way.

## Review of the literature

As stated earlier, there is a dearth of research that addresses the psychological makeup of homeless persons.

Inspection of the research reveals that only a very few studies begin to address characterological issues when evaluating homeless persons, and the use of even the most familiar objective psychological instruments in researching the homeless is practically nonexistent. A further complication is the near exclusive focus on chronically mentally-ill homeless people, whose estimated proportions in the homeless population range from 10% (Snow, et al., 1986) to 90% (Bassuk, 1984). While the issue of the unusually high percentage of chronically mentally-ill persons in the homeless population is an important one, studies focusing solely on that subgroup will not be included here due to their narrowness of applicability to the present research.

Bahr (1969) examined the relationship between size and stability of family-of-origin with homelessness and excessive drinking, using samples of homeless men from the Manhattan Bowery (N=197), men from a custodial care and rehabilitation facility (N=196), and a comparison group of men from a socio-economically matched Brooklyn neighborhood (N=123). Data were gathered using an interview schedule that tapped areas related to family-of-origin size and stability, and past and current alcohol consumption habits. Family-of-origin stability was determined by the question "Did your parents always live together until you were sixteen years old?" (p. 479);

family-of-origin size was determined from questions related to the numbers of siblings of each sex. Alcohol consumption habits were examined through a series of questions in the interview schedule and were categorized into three classes: spree and heavy drinkers, moderate drinkers, light drinkers and abstainers.

Bahr found no significant differences between the three groups on the family stability variable and concluded that men from broken homes were not overrepresented among the homeless. He found essentially the same result for the drinking habit variable with respect to family-of-origin stability and reached the same conclusion as above. Although there was a trend towards men from broken homes being heavy drinkers in the Bowery and rehabilitation center samples, it was statistically non-significant. The same findings and conclusions were reached with respect to the size of the family-of-origin variable.

Although Bahr is one of the first researchers to use any type of comparison group when studying a homeless population, his homeless sample appears to contain a number of members who could easily be considered members of the comparison group. Many of his "homeless" men, while Bowery residents, clearly had stable residences in inexpensive, single-room-occupancy (SRO) hotels. They might be better described as "marginally domiciled" rather

than as homeless. It is unclear what percentage of the homeless sample came from this subgroup, and what percentage came from the Bowery Mission, the Municipal Men's shelter, and the Salvation Army facilities; men who more clearly qualify as homeless. These differences in Bahr's "homeless" sample are not analyzed separately. His definition of a "stable" family, one where the parents lived together until the research subject was at least sixteen years old, seems rather broad too, as the nature and quality of intrafamily interactions is ignored. Along with this, the various combinations of family "styles" that would -- on the face of it -- qualify as stable (such as single parent-only families, extended families with family members other than parents and their children present, and so on) are ignored, too. Further, Bahr only used an interview schedule, with no other objective psychological measures. Although Bahr did not intend to study the individual personalities of his subjects, his use of family-of-origin data is considered a move away from the predominance of demographic studies toward one that appreciates the contribution of psychological antecedents to the homeless condition, beyond the existence or non-existence of alcohol abuse.

Cohen & Sokolovsky (1983) examined and compared the social networks of aged homeless men living in the Manhattan Bowery (N=48) to those of men living in SRO

hotels in midtown Manhattan (N=47). Data were gathered using a network-analysis protocol that tracks the subject's social contacts along lines of frequency and complexity. The protocol was administered as an interview, and other demographic data were also gathered.

Several social variables distinguished the Bowery sample from the SRO sample. The SRO sample averaged 45% more social contacts than the Bowery sample, in terms of stable ongoing relationships. The SRO sample also had more kin and non-kin contacts than the Bowery sample, on the average. The pattern of contacts for each group was nearly identical, however, with both groups having the greatest percentage of contacts within their immediate residential areas. The Bowery men's contacts tended to be reciprocal (i.e. socially equal), while the SRO interactions with non-kin contacts were significantly loaded in the dependency direction. Neither group was considered socially gregarious when compared with the general population, as the SRO group's social networks were two-thirds the size of a middle-class elderly sample's networks and with the Bowery sample's networks being even smaller. Cohen & Sokolovsky (1983) conclude that there are significant differences in the size and complexity of social networks that distinguish these two groups, and that a definition of homelessness that includes social interaction deficits would be appropriate.

Cohen & Sokolovsky's (1983) homeless group, like Bahr's above, appears to have some members who could easily be included in the other group. The proportion of shelterless men, or men living in missions and shelters for the homeless, versus those living in Bowery hotels (which could be considered SROs), is unspecified. To some degree the authors consider both groups homeless, yet they frequently distinguish between the two while using the "homeless" descriptor. As such, there is no control or comparison group for this study. References to age-related comparison groups (the "general" population) appear to be from unpublished data gathered from more middle-class elderly people, whose socioeconomic, ethnic, and other variables are unknown and possibly non-comparable to the subjects of this study. The authors used an interview based device for data acquisition, but no psychological instruments that measure individual personality traits. Nonetheless, this exploration of social interaction patterns and other social factors among homeless men is considered a significant step away from routine demographic studies, toward one that identifies psychological underpinnings in homelessness.

One of the only studies found that utilized a widely known psychological measure for evaluating the personalities of the homeless is the one by Kahn, Hannah, Hinken, Montgomery & Pitz (1987). Their subjects were 106

volunteers from a "soup kitchen" meal line in Tucson, Arizona. Their sample was 92% male, and 84% White; the Hispanic population for the area was substantially underrepresented.

Using the Minnesota Multiphasic Personality Inventory (Hathaway & McKinley, 1940) in a shortened version, the MMPI-168 (Overall, Higgens & de Schweinitz, 1976), Kahn et al. (1987) found that over 50% of their sample met their criteria for severe psychological disorder. Their criteria were rather stringent; T-scores over eighty for either the schizophrenia, psychopathic deviate, depression, mania, or paranoia scales. Their study was not aimed at describing the homeless in characterological terms, however, but rather at determining the rate of psychopathology and substance abuse among the homeless in a particular location. By excluding the cases deemed severely pathological or those who were active substance abusers, Kahn et al. (1983) reported further that 44% of the sample was essentially within the nominal normal range of the instrument, with (presumably sub-critical) peaks on the psychopathic deviate and depression scales.

While Kahn, et al. (1983) make use of a widely known psychological instrument, and are indeed critical of prior studies for failing to use objective measures, their use of the MMPI here is essentially reduced to that of another demographic measure. Its value as a descriptive device

for identifying the characterological features of the subjects is essentially ignored. The mention of the scale peaks for the non-pathological subjects was presented largely as an aside, and was not further discussed concerning the implications of this profile for the homeless population at large. Further methodological problems with the Kahn et al. study are the lack of a comparison group and apparent contamination of their "homeless" sample with subjects who were not actually homeless (who constituted about 20% of the sample).

Susser, Struening & Conover (1987) explored the childhood recollections of homeless men to examine the hypothesis that the qualitative nature of relationships in the person's family-of-origin had a significant impact on later functioning. Their samples were 223 "first timers" at a New York city shelter for the homeless, and a "weighted representative sample" of the 695 men already in residence at the shelter. Seventy percent of both samples were from ethnic minority groups.

Susser, et al. (1987) found a significant association between childhood (before age 17) experiences of separation from the family-of-origin, whether by placement in foster care or other residential care environments and psychiatric hospitalization. Further, they obtained high percentages of first timers (23%) and census sample subjects (17%) who reported placement outside the home

during childhood. They conclude that the combination of scarce family resources and intrafamily conflict are important factors in the childhood experiences of these men and that these are plausible contributors to later adult homelessness.

Susser, et al. (1987) make important inroads into the study of the psychological history of the homeless and its potential contribution to their present situation, even though they did not study individual personalities per sé. Their reliance on a structured interview as the single source of this information is seen as a hinderance to the generalizability of their findings, even if limited to the locale of the original study. No demographics are given for the population at large from which their sample was drawn, so it is unclear whether the large proportion of ethnic minorities in the samples further hamper the useability of the findings. Given the lack of any comparison group, minority or otherwise, it becomes even less clear how deviant the findings are, compared to the population from which they were drawn. Nonetheless, their conclusions appear to be plausible if for no other reason than purely pragmatic ones. A childhood history of good intrafamily relations -- to take the contraposition to their hypothesis -- is likely to leave someone in a better position to avoid homelessness via extended support from that family. It seems reasonable to add to this finding a

corollary argument that nominally "good" early intrafamily relationships leaves one with the relationship tools -- so to speak -- that allow one greater overall social functionality, that could serve to minimize the problems of living when the economic environment suffers a prolonged downturn.

The studies of Zozus & Zax (1991), and Passero, Zax & Zozus (1991) will be reviewed together as the latter paper was an extension of the former, and used the same data. These researchers, too, looked at the childhood recollections of homeless men and examined the relationship between the quality of the reported familial relations and present social functioning. Their homeless sample (N=90) was drawn from four homeless shelters in Rochester, New York. Their comparison group were 20 men matched for age and economic hardship who were living alone. Data relevant to the subjects' recollections of their family-of-origin were gathered using an inventory of childhood events developed by the authors. The inventory included items that tapped recollections relevant to maternal warmth or involvement, paternal warmth or involvement, family cohesion, verbal and physical abuse, family discord, and social integration. The social-support network data were obtained via inventories tapping such areas as emotional support, material or physical assistance, advice and positive feedback, and social

companionship. A third inventory quantified the subjects' knowledge and use of social services: job placement assistance; vocational training; housing assistance; financial assistance; day treatment; residential living opportunities; and medical, mental health, and substance abuse treatment services. These data, along with other demographic data, were obtained during interviews with the subjects.

Both studies found that the homeless sample had smaller social networks than their comparison counterparts, had lower frequencies of positive interactions, and found that they relied on their social networks for help less frequently than did their comparison group counterparts, particularly when seeking material assistance. This was in the absence of any significant difference between the groups with respect to the total score for knowledge of service availability. Passero, et al. (1991) found some significant differences in three of the knowledge or utilization-of-services variables: the comparison subjects scored higher on the housing assistance and mental health treatment categories, while the homeless subjects knew more about alcohol treatment.

In examining the family history data both studies found that recollections of childhood events were more likely to be perceived as rejecting, disorganized, and

abusive by the homeless sample than by the comparison sample. When differences due to ethnicity were controlled, familial discord and maternal warmth or involvement emerged as significant discriminators between the two groups, with the social-integration variable approaching significance. A discriminant function analysis indicated that the maternal warmth or involvement factor was the only significant predictor of group membership. The authors' general conclusion was that the experience of warm family relationships in childhood predisposes one to seek out others when one perceives oneself in need, and that one does it more actively than one whose family was perceived as harsh. They further concluded that chaotic families-of-origin, along with parental coldness are a disproportionate experience in the recollections of homeless men. Their final conclusion was that a perceived lack of maternal warmth was potentially a significant risk factor in predisposing their sample to becoming homeless. They note that these differences exist even in the face of equal economic distress.

The study by Zax & Zozus (1991) is the first study found to address possible intrapsychic underpinnings in homelessness, directly. Their inclusion of a reasonably matched comparison group strengthens their findings significantly, within the limitations of a male only sample. Their use of relatively unknown measures is seen

as one drawback insofar as the generalizability of their findings. However, the study's design argues for the probable utility of the instruments.

Summary and critique of the research

By far the greatest drawbacks to research of the homeless has been the lack of reasonable comparison groups. This appears related to the sometimes inconsistent, almost arbitrary definition of homelessness used by the authors. For example, Bahr's (1969) "homeless" sample included men who had been living in hotels for several years. While these hotels were in the "skid row" area of the city and likely worse in terms of the living conditions they provided their residents compared to those in the comparison group's location, they were, nonetheless, more stable living circumstances than those of the men living in the shelters or on the streets. Cohen & Sokolovsky's (1983) study suffered from this same problem. Kahn, et al. (1987) had a similar problem with their sample, as 20% appear not to be homeless, and they use no comparison group at all. The study by Susser, et al. (1987) also had no comparison groups, but did appear to utilize a sample of men whom one can reasonably be certain was homeless. Both Passero, et al. (1991) and Zozus & Zax (1991) use clearly homeless subjects and a reasonably valid comparison group for their study. While

they make the most concerted attempt to look at the contribution of psychological factors underlying homelessness, they continue to use less well known measurement devices, which certainly decreases the reader's ability to draw their own conclusions, and perhaps hampers the usefulness of the findings. While all of these studies, with the exception of the study by Kahn, et al. (1987), attempts to examine the contribution of the family-of-origin to the subjects' current homelessness, none begin to examine the individual psychologies of the subjects' personalities as they existed in adulthood. Kahn et al.'s (1987) study merely used a personality test to examine the incidence of mental illness, without taking advantage of the other information it offered. The present research is an attempt to address the above issues.

Statement of aims and hypotheses

The present research is intended to study homeless men in terms of psychological concepts, rather than demographics. As such, of primary concern is the description of this group in terms of personality characteristics or traits, rather than formal hypothesis testing. The descriptions will be derived from measurements generated by well known psychological tests and presented in terms of the relevant personality theory.

The research questions to be addressed by this study are:

1. How does the homeless group differ from the comparison groups?

2. Is there a "homeless" character or personality that differentiates the members of that sample from the members of the comparison samples?

# CHAPTER II

# METHOD

## Subjects

The research subjects were 20 homeless men temporarily housed in a Knoxville area homeless shelter, where they were allowed to stay a maximum of three days. Their ages ranged from 19 to 58 years, with a mean of 32.95 years and a standard deviation of 11.43 years. The ethnic breakdown of this group was 13 Caucasian (65%), five African-American (25%), one Hispanic (5%), and one Native American (5%). These demographics approximate the findings of the report of the Knoxville Coalition for the Homeless (1986), who conducted an exhaustive survey of the homeless in Knoxville during February of 1986.

The research sample was selected from among the men responding to notices posted by the director of the Knoxville Union Rescue Mission, a shelter for homeless men, who had prior knowledge of this research via his association with the Knoxville Coalition for the Homeless. The initial respondents were pre-screened by the shelter director for their general appropriateness for inclusion in this study and were considered homeless by self report of no regular house or apartment address for at least one month, or a chronic history of transience. The names of

those men meeting the pre-screening requirements were given to the investigator. Those men were then contacted by the evaluators and arrangements were made for an initial meeting.

At the initial meeting the evaluators made an informal presentation of the goals of the research project to each subject, explained the nature of the test instruments and the time requirements of the evaluation, and reviewed the confidentiality procedures. These presentations were carried out for each individual respondent and conducted at the homeless shelter. The actual research participants self-selected for involvement in the study following this presentation. The subjects were paid $10 at the completion of the battery.

The two comparison groups were comprised of an institutionalized, chronic psychiatric patient sample and a chronically indigent sample. These two groups were chosen on the basis of their frequent comparison to the research group in the social science literature (Mowbray, 1985).

The psychiatric comparison sample was obtained from a state mental health care institute. The psychiatric comparison group consisted of 10 men ranging from 28 to 49 years of age, with a mean of 37.1 years and a standard deviation of 7.82 years. Their ethnic breakdown was nine Caucasian (90%) and one African-American (10%). These

demographics closely follow the demographics for the facility's chronic inpatient population (Lambert, 1989).

In a manner similar to the that used with the research sample, access to potential members of the psychiatric comparison sample was secured by initially contacting the superintendent of the facility and obtaining permission to perform the research. The investigator then met with the facility's Research Committee to review the project and he obtained full authorization to conduct the research. Potential psychiatric comparison subjects were pre-screened and identified by the facility's clinical psychology, psychiatry, social work, and unit staff. The selection criteria were chronic psychiatric hospitalization, with a diagnosis of chronic schizophrenia or similar psychotic disorder that had been present for at least 10 years. The subjects' mental disorders had to be severe enough that continued use of antipsychotic medication was necessary during any periods where they were on outpatient status. An additional pre-screening requirement was that the men had to be verbal enough and oriented enough to carry out the intended evaluation. The names of those men meeting the pre-screening requirements were given to the investigator. Those men were then contacted by the investigator and arrangements were made for initial meetings.

At the initial meetings the investigator made an informal presentation of the goals of the research project, explained the nature of the test instruments and the time requirements of the evaluation, and reviewed the confidentiality procedures. These presentations were carried out for each individual respondent, and were conducted at the state facility. The actual research participants self-selected for involvement in the study following this presentation. These comparison subjects were paid $5 at the completion of their evaluations.

The indigent sample was a group of 10 men who ranged from 26 to 49 years of age, with a mean of 35.5 years and a standard deviation of 6.75 years. Their ethnic breakdown was eight Caucasian (80%) and two African-American (20%). The comparison subjects could only be approximately matched for age and ethnicity with those in the research group, due to the self-selection variable.

The indigent comparison subjects were secured by meeting with the director of a vocational training and rehabilitation program and the directing staff of an area "soup kitchen" and by presenting the rationale and goals of the current research in a manner similar to the psychiatric comparison group above. Permission to conduct the research was obtained following these meetings.

To be considered chronically indigent the potential subject had to be chronically unemployed or employed

solely as part of a work skills training program and had to be receiving some sort of governmental or community aid. Such aid could include general financial assistance (direct monetary payments), Supplemental Security Income, disability income, food stamps, or rent subsidies, but were not limited to these sources. They had to have a regular house or apartment address, so as not to be considered homeless. These conditions had to have existed for at least a year.

The potential indigent comparison subjects from the vocational rehabilitation program were advised of the opportunity to participate by their vocational rehabilitation counselors. The names of those men interested in participating in the project and those meeting the pre-screening requirements were given to the investigator. Those men were then contacted by the investigator and arrangements were made for initial meetings. At the initial meetings the investigator made the informal presentation concerning the goals of the research project, explained the nature of the test instruments and the time requirements of the evaluation, and reviewed the confidentiality procedures. These presentations were carried out for each individual respondent, and were conducted at the Psychological Clinic of the University of Tennessee. The actual research participants self-selected for involvement in the study

following this presentation. These comparison subjects were paid $15 upon completion of the evaluation.

Potential indigent comparison subjects from the "soup kitchen" responded to notices posted by the directing staff (Appendix A). The names of the respondents interested in participating in the research and meeting the above criteria for chronic economic disadvantage were given to the investigator, who contacted each one to arrange an initial meeting. At the initial meetings the investigator again presented the goals of the research project, explained the nature of the test instruments and the time requirements of the evaluation, and reviewed the confidentiality procedures. These presentations were carried out for each individual respondent, and were conducted at the "soup kitchen". The actual research participants self-selected for involvement in the study following this presentation. These comparison subjects were paid $20 upon completion of the evaluation.

Measurements

Prior to administering the battery each subject was again informed of the confidentiality procedures used to insure their anonymity and were reminded that they were allowed to terminate their involvement at any time. After each subject was reminded about the study's procedures, a

signed information and consent form was obtained (Appendix B).

The homeless subjects were evaluated at the shelter, where a room was provided by the director on specific days when privacy and minimal disruption could be assured. The psychiatric comparison subjects were evaluated at the state facility, in an office provided by the staff of each participant's unit. More frequent breaks were needed by these participants due to the meal and medication schedules, and the relatively greater demand placed upon these participants by the procedure. The indigent comparison subjects from the vocational rehabilitation program were evaluated at the Psychological Clinic of the University of Tennessee. The indigent comparison subjects from the "soup kitchen" were evaluated at the site of the "kitchen", in a classroom during the days and periods when it was not in use.

A battery of psychological instruments typically used for psychological and personality assessment was administered (Piotrowski, 1984; Piotrowski & Keller, 1984). The battery included the Draw-A-Person test (DAP) (Machover, 1949), the Minnesota Multiphasic Personality Inventory (MMPI) (Hathaway & McKinley, 1940), selected subscales of the Wechsler Adult Intelligence Scale-Revised (WAIS-R) (Wechsler, 1980), the Thematic Apperception Test (TAT) (Murray, 1938), and the Rorschach Inkblot Technique

(Rorschach, 1921). Standard administration guidelines for each instrument were followed. At the end of each administration a semi-structured clinical interview was conducted to gather demographic and historical data not obtained via the other instruments (Appendix C).

The DAP was included in the battery as a non-threatening means of assessing anxiety (Handler, 1967), personality variables (Handler, 1985; Machover, 1949), and overall adjustment (Yama, 1990). It has been shown to be reliable over time for these uses (Kahill, 1984), and a valid means of quantifying anxiety (Handler, 1964; Handler & Reyher, 1966; Handler, 1985). The DAP enjoys general acceptance in the field for personality investigation (Piotrowski & Keller, 1984). The DAP data were scored and quantified using Handler's (1967) method, which produces data suitable for statistical analysis.

The MMPI was selected for its utility as a reliable and objective personality assessment device and its wide acceptance among clinicians for this application (Piotrowski & Keller, 1984). The MMPI consists of 566 true-false questions or statements that yield three validity scales and 10 clinical scales. The Ego Strength (Es) (Barron, 1953) and MacAndrew (MAC) (MacAndrew, 1965) scales were scored in addition to the standard validity and clinical scales. The Es scale was chosen for its ability to assess the general effectiveness of the

subject's psychological resources (Newmark, 1985). The MAC scale was included as a measure of each subject's propensity for substance abuse at the personality level (Craig, 1984). Both scales have proven to be valid and reliable, and have been included as regularly scored scales in the revised MMPI (MMPI-II). The MMPI scoring procedure yields continuous numerical values for each subscale that can be readily used in statistical analyses.

Selected subtests from the WAIS-R were used as a means of assessing the subjects' approximate level of intellectual functioning. Three WAIS-R subscales were administered to 14 of the homeless sample, while all four were administered to six of the homeless subjects. Each of the comparison group subjects was administered all four subtests. These particular subtests were chosen for their high intercorrelation with Full Scale I.Q. scores (Wechsler, 1981), and their somewhat reduced vulnerability to decrement as a function of aging, or mental or neurological deterioration (Lezak, 1983; Matarazzo, 1972). The subtests administered to all subjects were Information, Vocabulary and Similarities. The fourth subtest administered to six of the research subjects and all the comparison subjects was Comprehension. These subtest's intercorrelations with the Full Scale Score are .76, .81, .75, and .74, respectively. The WAIS-R scoring

procedure yields numerical values for each subtest that are useful for statistical analysis.

The TAT was selected as one projective device for assessing the more overt manifestations of the subjects' patterns of interpersonal relating. These patterns are considered to be characteristics of one's overall personality. Such traits are consistent across settings and through time and change very little after early adulthood. Of particular interest to this research are the approaches to interpersonal relatedness that are ingrained in the research subjects; their habitual, characteristic pattern of relating to, and dealing with others. The underlying processes that motivate and guide these patterns are referred to as the individual's object relations. This interpersonal style is virtually always outside of the person's awareness, yet discernable by others and by psychological assessment. Object relations information from the TAT was obtained by scoring each subject's responses according to Westen's (1990) system. This system has shown good reliability and validity characteristics in previous research across a wide diagnostic range of subjects (Barends, Westen, Byers, Leigh & Silbert, 1990; Westen, 1991; Westen, Klepser, Ruffins, Silverman, Lifton & Boekamp, 1991).

Briefly, the subjects' TAT responses were reviewed and scored across four dimensions of object relations

themes: Complexity of Representations of People; Affect-Tone of Relationship Paradigms; Capacity for Emotional Investment in Relationships and Moral Standards; Understanding of Social Causality. The synopses of these scales are in Appendix D. Each individual dimension is scored for developmental levels ranging from one to five. These object relations developmental levels are derived from theoretical and clinical data, and lie at approximately equal intervals. The scoring criteria are listed in Appendix E. This scoring technique produces numerical values that are amenable to statistical analysis.

The Rorschach Inkblot Technique was selected as a projective device for assessing personality traits that exist at the deeper, characterological level. The Rorschach Inkblot Technique is particularly useful for assessing object relations (Blatt & Lerner, 1983). The Rorschach was administered according to the procedure described by Exner (1974). Information concerning these more deeply ingrained object relations was obtained by scoring the human movement responses in the Rorschach protocols using Blatt, Brenneis, Schimek & Glick's (1976) Concept of the Object Scale. Previous research has shown this instrument to be both reliable and valid for the present investigation (Blatt & Lerner, 1983; Fritsch & Holmstrom, 1990).

Briefly, the subjects' Rorschach human content responses are scored for object relations data across four categories of analysis (See Appendix F): Accuracy of Response; Differentiation; Articulation; Integration. The individual human content responses are scored for developmental levels according to a system of numerical weightings (Appendix G). For the purposes of the present research the resulting data were summarized into three scores: Average developmental score for accurately perceived human content responses (Ror+); average developmental score for inaccurately perceived human content responses (Ror-); and average developmental score for all human content responses regardless of accuracy (RorTotal). The score for each subject in the first two categories was derived by summing all the scores for accurately perceived (Ror+) and inaccurately perceived (Ror-) responses, and dividing that sum by the total number of human content responses to control for response productivity. The RorTotal was derived by summing the scores for all human content responses and dividing by the total number of human content responses, again to control for response productivity. Blatt et al.'s scoring system yields numerical values that can be statistically analyzed.

All test administrations were carried out by graduate students in the Clinical Psychology training program of

the University of Tennessee, Knoxville. The test scoring was supervised by advanced graduate students with several years of experience, and reviewed by the principal investigator.

# CHAPTER III

## RESULTS

### Demographics

A summary of the statistical analyses for the demographic and background data is presented in Tables I and II. The one-way analysis of variance for the age variable ($F$=.6715, $df$=2,37 $p$=.52), and the chi-square analysis of the ethnicity variable ($X^2$=3.35, $df$=6, $p$=.76) found no significant differences between the homeless group and the two comparison groups. Thus, the groups are considered sufficiently matched along these demographic lines for comparison.

A chi-square analysis of the marital status variable ($X^2$=9.022, $df$=4, $p$=.06) was significant at the .10 level. This was the result of 90% of the chronic psychiatric and 68% of the homeless subjects reporting themselves as never having been married, compared to 40% for the indigent subjects. When the indigent and psychiatric subjects were combined into one comparison group, the chi-square analysis ($X^2$=3.377, $df$=2, $p$=.19) demonstrated no significant difference between them and the homeless group. For the homeless group, roughly twice as many subjects (68% versus 32%) reported having never been married compared with the number reporting themselves as

TABLE I

Demographics Chi-Square Test

| Demographic Variable | $X^2$ | df | p |
|---|---|---|---|
| Ethnicity | 3.35 | 6 | .76 |
| Marital Status | 9.02 | 4 | .06 |
| Substance Abuse | 5.13 | 2 | .08 |
| Psychiatric History | 17.39 | 2 | <.01 |
| Incarceration History | 2.24 | 2 | .33 |

TABLE II

Demographics One-way ANOVA

| Demographic Variable | Mean Squares | F(2,37) | p |
|---|---|---|---|
| Age | 62.5125 | .6715 | .51 |
| Years of Schooling | 4.3981 | .7802 | .47 |

divorced. None of the homeless subjects was married or significantly involved with someone at the time of their evaluations. For the psychiatric comparison group 10% were married at the time of their evaluations. Among the indigent subjects, 40% were divorced and uninvolved in a significant relationship, while 20% were either married or significantly involved (living together) with someone. In rank ordering the subjects' ability to establish and keep a significant relationship, the psychiatric subjects were the least successful, with the homeless subjects between them and the indigent subjects, who were most likely to report an ongoing significant relationship. The rate of relationship "success" among the indigent, however, appears to still be well below that of the population at large.

A chi-square analysis of the subjects' reports of current or past alcohol or other drug abuse ($X^2$=5.13, df=2, p=.08) was significant at the .10 level. This was the result of 84% of the homeless group admitting to such problems. When the two comparison groups were combined into one, the chi-square analysis ($X^2$=3.71, df=1, p=.05) was significant at the .05 level. This second result may be somewhat skewed by the reports of alcohol or drug abuse among 50% of the psychiatric comparison group members, as information gathered during the interviews suggest that some of the group members who answered affirmatively to

this question had actually engaged in attempts at self medication, rather than recreational or habitual drug abuse. Fifty percent of the indigent comparison group members reported histories of drug or alcohol abuse. This result certainly underscores the co-incidence of alcohol or drug abuse and homelessness, but does not clarify the relationship between substance abuse and homelessness or indigence with respect to temporal causality.

Analysis of the reports of involvement with the mental health system were skewed by the psychiatric subjects' 100% affirmative response rate ($X^2$=17.39, $df$=2, $p$<.01). Only 18% of the homeless subjects reported a history of psychiatric hospitalization, while 40% of the indigent subjects reported past inpatient treatment. Chi-square analysis of only the homeless and indigent groups found no significant difference.

Analysis of reported histories of non-psychiatric incarceration was not significantly different among the three groups ($X^2$=2.24, $df$=2, $p$=.33). All three groups demonstrated unusually high percentages of incarceration; 84% for the homeless group, 80% for the indigent group, and 60% for the psychiatric group. Members of the psychiatric group were not scored affirmatively on the incarceration variable for arrests or detentions that led to their entry into a psychiatric facility.

Draw-A-Person

The ranges and means for the DAP Anxiety Index scores are presented in Table III. The one-way analysis of variance (Table IV) revealed no significant differences among the research and comparison groups. Anxiety Index scores were analyzed separately for sex of DAP figure and for the overall sum of the scores. Reliabilities for the instrument in this study are shown in Table V. In all cases the indigent group had the lowest average Anxiety Index score while the psychiatric group's score was highest. The homeless group's score fell in between. The same-sexed figure scores for the indigent, homeless, and psychiatric groups were 22.20, 22.50, and 24.20, respectively. For the other-sexed figure the scores were 21.30, 23.45, and 24.70, for the indigent, homeless, and psychiatric groups, respectively. The total Anxiety Index scores were 43.50 for the indigent group, 45.95 for the homeless group, and 48.90 for the psychiatric group. Although no standardized norms exist for these Indices, these scores are judged to be relatively high overall. The Anxiety Index has a range of 0 to 57, as used in this research.

TABLE III

Draw-A-Person Ranges and Means

| | Homeless | | Psychiatric | | Indigent | |
|---|---|---|---|---|---|---|
| Figure | Range | Mean | Range | Mean | Range | Mean |
| Male | 15-30 | 22.50 | 18-30 | 24.20 | 12-31 | 22.20 |
| Female | 14-29 | 23.45 | 13-31 | 24.70 | 12-31 | 21.30 |
| Combined | 29-57 | 45.95 | 31-59 | 48.90 | 24-61 | 43.50 |

TABLE IV

Draw-A-Person One-way ANOVA

| Figure | Mean Squares | *F*(2,37) | *p* |
|---|---|---|---|
| Male | 12.4500 | .6833 | .51 |
| Female | 29.9125 | 1.2647 | .29 |
| Combined | 73.2125 | 1.0588 | .36 |

TABLE V

Draw-A-Person Reliabilities

| Scoring Variable | Reliability |
|---|---|
| Shading | .90 |
| Hair Shading | .88 |
| Erasure | .90 |
| Reinforcement | .79 |
| Light and Heavy Line | .85 |
| Placement | .99 |
| Ommission | .89 |
| Small/Large Size | .96 |
| Small/Large Head Size | .99 |
| Head-to-Body Ratio | .98 |
| Transparency | .94 |
| Delineation Line Absence | .88 |
| Vertical Imbalance | .90 |
| Emphasis Line | .86 |
| Line Discontinuity | .85 |
| Distortion | .76 |
| Head Simplification | .85 |
| Body Simplification | .74 |
| Detail Loss | .89 |

MMPI

The ranges and means for the MMPI scales are presented in Table VI. A summary of the results of the one-way analysis of variance for the Minnesota Multiphasic Personality Inventory scales data is presented in Table VII. A one-way analysis of variance test for the MMPI L (Lie) scale ($F$=3.2940, $df$=2,37 $p$=.05) found a significant difference between the homeless and psychiatric groups (average T=50.85 and 58.40, respectively). This finding could be due to the psychiatric subjects, as a whole, attempting in an unsophisticated way to present themselves in a more favorable light than is usual for the population at large, or from their characteristically poorer comprehension of social mores and expectations. The indigent comparison group's average score was T=52. The average scores on this scale for all three groups was well below the critical level for this instrument (T=70).

The one-way analysis of variance for the MMPI F (Infrequency) scale revealed a significant differences between the indigent (T=66.7) and psychiatric (T=81.2) groups ($F$=2.9444, $df$=2,37, $p$=.07). The homeless group's mean was T=71.1. These scores suggest that the psychiatric group was feeling acutely distressed at the time of their evaluations. The homeless group's average score also fell in the critical range, which suggests that the homeless group, on the average, was experiencing

TABLE VI

MMPI Scales Ranges and Means

| | Homeless | | Psychiatric | | Indigent | |
|---|---|---|---|---|---|---|
| Scale | Range | Mean | Range | Mean | Range | Mean |
| L | 44-60 | 50.85 | 46-83 | 58.40 | 44-63 | 52.00 |
| F | 53-102 | 71.10 | 58-110 | 81.20 | 48-78 | 66.70 |
| K | 36-62 | 49.50 | 36-77 | 52.00 | 38-75 | 50.70 |
| Hs | 41-106 | 65.15 | 44-108 | 71.50 | 49-82 | 62.60 |
| D | 41-99 | 65.20 | 51-96 | 68.30 | 51-101 | 68.00 |
| Hy | 36-84 | 60.15 | 51-100 | 67.10 | 42-75 | 58.60 |
| Pd | 55-90 | 76.30 | 60-93 | 72.20 | 46-88 | 69.50 |
| Mf | 41-90 | 60.65 | 57-73 | 66.60 | 51-84 | 66.20 |
| Pa | 41-88 | 66.35 | 50-108 | 74.10 | 47-79 | 60.70 |
| Pt | 42-91 | 65.65 | 60-89 | 72.70 | 48-89 | 67.80 |
| Sc | 57-117 | 80.05 | 67-119 | 90.00 | 59-105 | 75.00 |
| Sc1a | 39-82 | 64.85 | 44-90 | 69.40 | 39-86 | 63.90 |
| Sc1b | 31-92 | 55.10 | 39-100 | 60.40 | 31-83 | 47.30 |
| Sc3 | 48-97 | 66.70 | 48-113 | 74.70 | 48-77 | 60.00 |
| Ma | 38-91 | 67.90 | 53-103 | 74.20 | 50-91 | 63.90 |
| Si | 45-71 | 58.05 | 43-69 | 55.80 | 39-70 | 60.20 |
| Es | 24-56 | 39.40 | 16-58 | 38.90 | 20-67 | 41.50 |
| MAC | 43-90 | 72.50 | 46-96 | 73.20 | 60-99 | 70.90 |

TABLE VII

MMPI One-way ANOVA

| Scale | Mean Squares | F(2,37) | p |
|---|---|---|---|
| L | 197.0125 | 3.2940 | .05 |
| F | 566.2375 | 2.9444 | .07 |
| K | 21.3375 | .2155 | .81 |
| Hs | 216.0750 | .7882 | .46 |
| D | 43.7275 | .1554 | .86 |
| Hy | 217.0750 | 1.4519 | .25 |
| Pd | 166.7375 | 1.2432 | .30 |
| Mf | 165.7125 | 1.7566 | .19 |
| Pa | 454.4125 | 2.5476 | .09 |
| Pt | 165.8250 | .9810 | .39 |
| Sc | 592.5125 | 1.9685 | .15 |
| Sc1a | 91.8250 | .4706 | .63 |
| Sc1b | 436.8375 | 1.5108 | .23 |
| Sc3 | 542.3375 | 2.3524 | .11 |
| Ma | 271.8375 | 1.6077 | .21 |
| Si | 48.4125 | .6894 | .51 |
| Es | 20.1000 | .1646 | .85 |
| MAC | 14.2375 | .0694 | .93 |

substantial, but not completely disruptive levels of distress. The indigent group's average score would indicate a moderate level of distress among its members that was impinging on their day-to-day living, but not to a disruptive degree.

The one-way analysis of variance found no significant differences among the groups on the MMPI K (Correction) scale. All three group means (homeless T=49.5, psychiatric comparison group T=52, indigent comparison group T=50.7) clustered around the scale's nominal average (T=50). This result suggests that the members of all three groups, on the average, responded to the test items in an open and non-defensive fashion, trying neither to present themselves in an overly favorable light, nor in overly unfavorable light.

There were no significant differences among the groups on the MMPI Hs (Hypochondriasis) scale. However, all three groups demonstrated somewhat elevated scores, with the psychiatric comparison group's average falling one and a half points into the critical range (homeless T=65.15, psychiatric comparison group T=71.5, indigent comparison group T=62.6). This result suggests that all three groups were more concerned about health and bodily functioning issues than is usual for the general population. Rank ordering of the group mean scores reveals that the indigent comparison group was, on the

average, least worried about such issues, while the psychiatric comparison group members were most concerned, with the homeless subjects falling about halfway in between.

All three group means were within five points of the critical level (T=70) on the MMPI D (Depression) scale, but no group's average score fell into the critical range (homeless T=65.2, psychiatric comparison group T=68.3, indigent comparison group T=68). There were no significant differences among the group means. Such results tend to indicate a mild to moderately dysphoric affective state that may have migrated into a chronically depressed mood. Persons scoring in this range tend to feel more worrisome and depressed than the general population and feel dissatisfied with themselves or their situation. The homeless group had the lowest average score of the three groups.

On the MMPI Hy (Hysteria) scale the homeless sample's average score fell in between the indigent and psychiatric group averages (homeless T=60.15, psychiatric comparison group T=67.1, indigent comparison group T=58.6). Rank ordering of the mean group scores from lowest to highest again placed the homeless sample in between the indigent sample and the psychiatric sample, with the indigent sample's score considered non-critical, and the lowest of the three groups, while the psychiatric group's average

was less than three points from the critical range. This scale measures the tendency to rely on hysterical defense mechanisms or schemes, such as the utilization of denial of existing problems or distress about them, and development of somatic symptoms when the denial process fails to keep distress out of awareness. The differences among the group means was not significant.

The MMPI Pd (Psychopathic Deviate) scale detects problems the subject has with authority figures, impulse control, anticipating the consequences of his or her behavior, formation of warm attachments, and general antisocial behavior. All three group mean scores were at, or above, the critical level, with the homeless group mean the highest (homeless T=76.3, psychiatric comparison group T=72.2, indigent comparison group T=69.5). The psychiatric group mean was also in the critical range, with the indigent group mean one half point below the critical score. This outcome suggests that all the subjects were experiencing a substantial degree of interpersonal anger, although the configuration of the two comparison groups' average scores for other scales in the MMPI suggest a decreased propensity for antisocial acting out than with the homeless group's average scores. There was no significant difference among the three group means for this scale.

The MMPI Mf (Masculinity-Femininity) scale was originally designed to identify male homosexual inverts, but has over time had its interpretation of moderate elevations changed to reflect a lack of stereotypic sex-role interests, interpersonal sensitivity, and an aesthetic-cerebral orientation to life. Extreme elevations raise the possibility of homosexual inclinations, or a maladaptive passive dependent orientation. The difference between a moderate and an extreme elevation is determined on a case by case basis, and depends on balancing several variables, with education level being the most prominent. More highly educated subjects tend to have moderately elevated scores on this scale. In less well educated individuals the same numerical score might be considered extremely elevated. All three group means were in the moderately elevated range, with the homeless group's average being the lowest (homeless T=60.65, psychiatric comparison group T=66.6, indigent comparison group T=66.2). This result, in the context of an approximately twelfth grade education for all subjects, is suggestive of a pervasive passive orientation towards accomplishment and relating to others. There were no significant differences among any of the group means, however.

A significant difference at the .10 level was found between the indigent group's mean score, and the

psychiatric group's mean score on the MMPI Pa (Paranoia) scale, using one-way analysis of variance ($F$=2.5476, $df$=2,37 $p$=.09). The homeless group's mean score was approximately half way between them (homeless T=66.35, psychiatric comparison group T=74.1, indigent comparison group T=60.7). The indigent and homeless mean scores were mildly to moderately elevated; the psychiatric group mean score was in the critical range. These results suggest that while the indigent and homeless group members, on the average, were somewhat suspicious of the motives of others, overly sensitive to the opinions and views of others, and prone to blaming others for their misfortunes; the psychiatric group members were more frankly paranoid in their ideation.

There was no significant difference among the three groups on the MMPI Pt (Psychasthenia) scale, which is a measure of general turmoil, worry, anxiety, obsessional thinking, compulsions, and unreasonable fears. The homeless and indigent groups obtained a moderate elevation on this scale, the psychiatric group's mean score was in the critical range (homeless T=65.65, psychiatric comparison group T=72.7, indigent comparison group T=67.8). This outcome supports the results of the group mean scores on the MMPI F scale, suggesting that all three groups were experiencing a noticeable impact from distress

on their day-to-day lives around the time of the evaluations.

There were no significant differences between the groups on the MMPI Sc (Schizophrenia) scale. Surprisingly, all three group means fell above the critical level (T=70), with the indigent group scoring lowest, the homeless group's mean score again falling in between, and the psychiatric group the highest (homeless T=80.05, psychiatric comparison group T=90, indigent comparison group T=75). The latter result would be expected, as this scale taps problem areas such as disturbances of perception, disturbances of ideation, social and emotional alienation, disturbances in the capacity to relate to oneself and others, and outright admission of bizarre sensory experiences. A further breakdown of the MMPI Sc scale revealed no significant differences between the groups on the Sc3 (Bizarre Sensory Experiences) subscale. The indigent (T=60) and homeless (T=66.7) group mean scores were elevated on this subscale, but not above the critical level. The psychiatric group's mean score (T=74.7) was in the critical region, which suggests that this group's elevation was likely due more to the presence of hallucinations and delusions than for the indigent and homeless subjects. Examination of the Sc1 (Object Loss) subscales revealed moderate elevations for the indigent and homeless group means, and a near

critical elevation for the psychiatric group on the sub-subscale that detects a propensity for, or history of, troubled interpersonal relationships (homeless T=64.85, psychiatric comparison group T=69.4, indigent comparison group T=63.9). The homeless group's score fell in between the other two groups. There was no significant difference among the group means on the Sc1 measure of alienation from the self (homeless T=55.1, psychiatric comparison group T=60.4, indigent comparison group T=47.3). The indigent and homeless group means clustered around the nominal average for this measure (T=50), with the psychiatric group demonstrating a moderate elevation. Again, the homeless group's score was between the scores of the other two groups.

The MMPI Ma (Hypomania) scale evaluates the milder degrees of manic excitement, such as flight of ideas, elevated but unstable mood, agitation, and impulsivity. It is also considered to be most useful when construed as a measure of the energy driving some of the other MMPI clinical scales. The indigent and homeless group means were moderately elevated on this scale, with the psychiatric group scoring in the critical range (homeless T=67.9, psychiatric comparison group T=74.2, indigent comparison group T=63.9). There was no significant difference among the groups on this scale, and the homeless group mean was again in between the other two.

This result may reflect the poor planning and impulse driven orientation of the indigent and homeless groups (c.f. MMPI Pd scale results), while reflecting the press of ideas and experience of agitation of the psychiatric group.

On the MMPI Si (Social Introversion) scale, a measure of discomfort with social interaction and tendency to demure from social contact, the psychiatric group scored the lowest, followed by the homeless subjects, then the indigent group (homeless T=58.05, psychiatric comparison group T=55.8, indigent comparison group T=60.2). The psychiatric and homeless group mean scores were slightly above the nominal average for this scale (T=50), with the indigent group nearing a moderate score. There was no significant difference between the group mean scores. This result appears to go against the common view of the homeless as a group of disaffected wanderers who shun social involvement by choice. It is unclear if this result is an artifact of the data collection process. While the homeless sample was obtained from a shelter population, the evaluations took place during the winter, when shelter populations tend to increase dramatically due to the cold weather.

The MMPI Es (Ego Strength) scale was originally developed to predict a subject's response to psychotherapy. Later research indicates that it tends to

measure psychological and characterological attributes such as adaptability, resiliency, resourcefulness, and effective overall functioning. All three group means were very low on this scale, with no significant differences among them. The homeless group's score fell between the other two, with the psychiatric group's score the lowest and the indigent group's the highest (homeless T=39.4, psychiatric comparison group T=38.9, indigent comparison group T=41.5). This result appears to be an accurate reflection of the circumstances of all three groups; all are adapting poorly to the demands of life, with the scale scores parallelling the situation of each group.

The MAC (MacAndrew) scale is a measure of proneness to addictive behaviors, including alcohol and drug abuse. Given the results of this study, it may also be a rough inverse indicator of psychological development. All three group means scored in the critical range, with the indigent subjects scoring just above the critical mark (T=70), and the homeless and psychiatric group slightly further into the critical range (homeless T=72.5, psychiatric comparison group T=73.2, indigent comparison group T=70.9). There were no significant differences among the group means.

When analyzed as configural profiles, these MMPI results reveal that the homeless sample as a group appeared more like the indigent sample than the

psychiatric comparison group, yet demonstrated some of the latter group's characteristics (See Figure 1). In MMPI profile classification the homeless group's average profile would be called an 8-4, while the indigent group's average profile could be called either an 8, or a near 8-4. The psychiatric group's average profile would be classified as 8-9, or 8-9-6.

The 8-4 profile is considered indicative of severe psychological problems, usually at the characterological level (Dahlstrom, Welsh & Dahlstrom, 1972; Webb & McNamara, 1978). Such problems are extremely likely to be disruptive to efficient functioning on a day-to-day basis, and would probably be chronic in nature. Persons generating such an MMPI code are described as chronically angry, unpredictable, emotionally distanciated, prone to oddities of thought and behavior, are impulsive, and lacking in empathy. This code type typically reports a history of poor interpersonal relationships, beginning with the family-of-origin (Graham, 1977; Greene, 1980; Lachar, 1974; Webb & McNamara, 1978).

The indigent group's profile would be described similarly, except that the aspects of poor interpersonal adjustment and the resulting chronic anger and resentment towards others is somewhat diminished in their profile. The indigent group's profile speaks more to a sense of

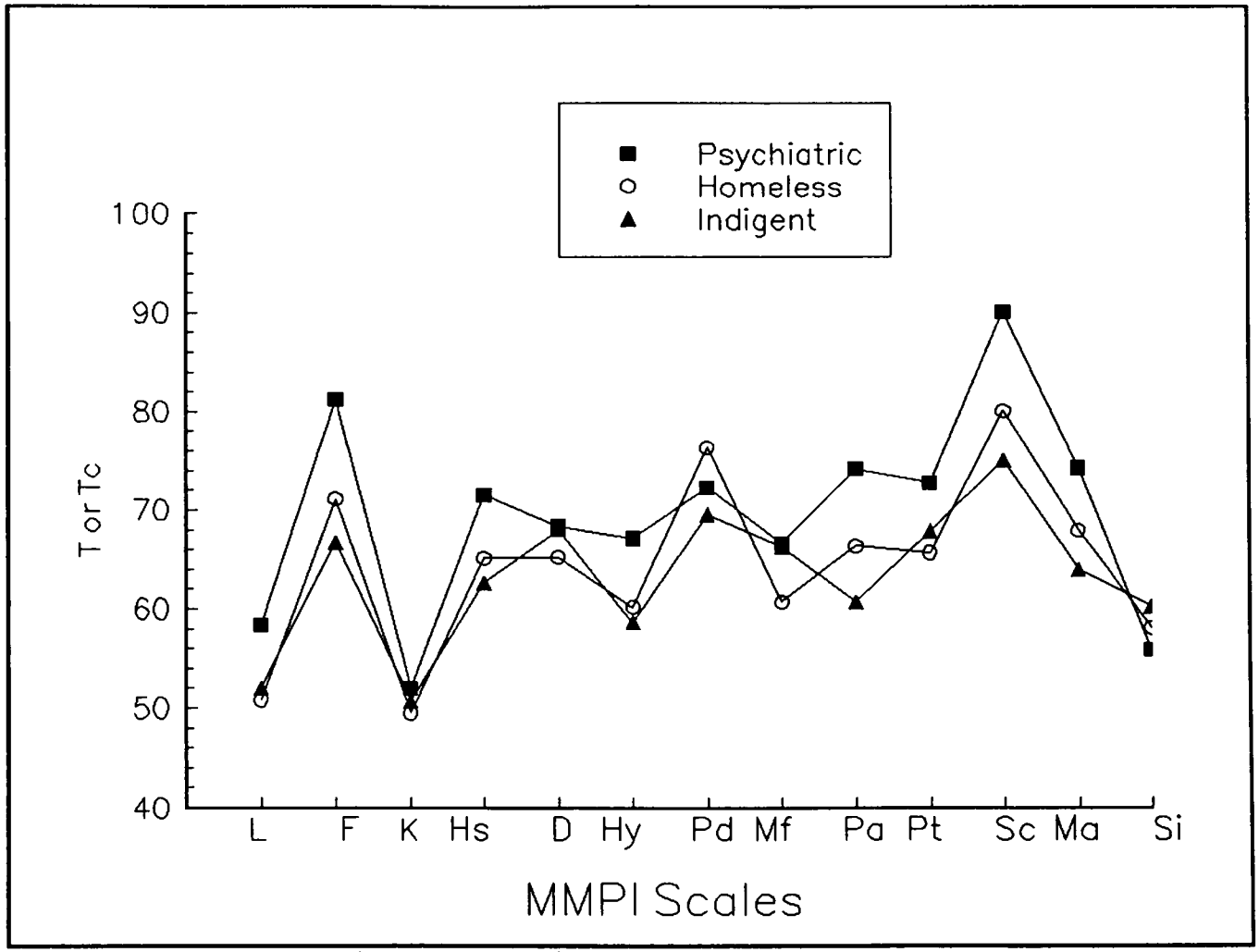



**Figure 1: MMPI Configural Profiles for All Groups**

alienation from self and others, and less to a sense of rage directed at others.

The psychiatric group's profile echoes the panoramic emotional, cognitive, and developmental disruption in their lives. It suggests the presence of hallucinations, outright delusional ideation, severely disrupted interpersonal relations based more on idealizing fantasies and paranoid fears than reality, and chronic internal agitation (Greene, 1980; Lachar, 1974; Webb & McNamara, 1978).

WAIS-R

The ranges and means of the WAIS-R results are shown in Table VIII. The average WAIS-R subtest scores and the average overall score for each group were analyzed for significant differences. The results of the one-way analysis of variance is presented in Table IX. On the Information subtest the indigent group's mean was near the average for the general population, suggesting that this group had successfully assimilated and retained the general fund of knowledge and cultural information presented during their formative years. The homeless group's mean score for this subtest was two standard scores below the average. This is an unusual result, as the homeless group averaged only one year less schooling than the indigent sample. The psychiatric group's average

TABLE VIII

WAIS-R Ranges and Means

| | Homeless | | Psychiatric | | Indigent | |
|---|---|---|---|---|---|---|
| Subtest | Range | Mean | Range | Mean | Range | Mean |
| Information | 3-14 | 8.10 | 5-10 | 7.40 | 6-14 | 9.40 |
| Vocabulary | 2-16 | 7.80 | 2-9 | 6.20 | 2-14 | 8.90 |
| Comprehension | 4-10 | 7.83 | 3-8 | 5.40 | 5-14 | 9.20 |
| Similarities | 1-12 | 7.80 | 1-10 | 6.30 | 5-15 | 9.70 |
| Average | 3-13 | 8.05 | 3-8 | 6.20 | 5-15 | 9.40 |

TABLE IX

WAIS-R One-way ANOVA

| Subtest | Mean Squares | F(2,37) | p |
|---|---|---|---|
| Information | 10.4500 | 1.6205 | .21 |
| Vocabulary | 18.5375 | 1.9614 | .16 |
| Comprehension | 36.7564 | 5.6802* | .01 |
| Similarities | 29.1000 | 3.1912 | .05 |

* F(2,23)

score was two and a half scaled scores below the average. There were no statistically significant differences among the three groups on this subtest.

The average score for the indigent sample on the Vocabulary subtest suggests a slight decrement in verbal facility and knowledge of words, when compared to the general population. The homeless group's average score suggests a greater decrement in this area, nearly two scaled-score points below the average. The psychiatric group's average was nearly four scaled score points below the average for the general population. This result suggests that the members of this group were significantly impaired, as the score for this subtest is usually the last to show decrement even during substantial psychological disturbance (Allison, Blatt & Zimet, 1968; Matarazzo, 1972).

The indigent group's average score for the Comprehension subtest was less than one scaled-score point below the general population's average, suggesting that their social judgement and social reality testing was intact and functional. The homeless group's mean score for this subtest was over two scaled-score points below the average, suggesting substantial impairment in the areas tapped by this subtest. The psychiatric group's mean score was five and a half scaled-score points below the mean and is indicative of the tremendous disruption in

their ability to understand and respond appropriately or effectively to the demands of day to day survival. The one-way analysis of variance found a significant difference ($F$=5.6802 $df$=2,23 $p$=.01) among the groups on this subtest. The Scheffé multiple range test detected a significant difference between the indigent and psychiatric groups at the .05 level.

On the Similarities subtest the indigent group's mean score was less than half a scaled-score point below the general population's mean, suggesting that as a group their verbal concept formation, and concrete and abstract reasoning skills were unimpaired and functioning well. The homeless group's score was nearly two scaled-score points below the mean, suggesting some difficulty in this area. The psychiatric group's mean score was nearly four scaled-score points below the mean, again reflecting the massive disruption their disturbances produce across the board. The one-way analysis of variance found a significant difference ($F$=3.1912, $df$=2,37, $p$=.05) between the indigent and psychiatric group average scores.

It is noteworthy that with the WAIS-R subtest scores, as with many of the MMPI subscale scores, the homeless group's mean score fell in between the indigent group's and the psychiatric group's scores. It is further noteworthy that the rank ordering of the means resulted in the indigent group scoring the highest, followed by the

homeless group, then the psychiatric group. This somewhat mirrors the results of the MMPI scores too, with the indigent group's mean generally being nearer the average score, and the psychiatric group's being furthest away.

Thematic Apperception Test

A summary of the ranges and means for the TAT results are shown in Table X; the reliabilities for the instrument in the present study are in Table XI. One-way analyses of variance with Scheffé's multiple range test (Table XII) was used to determine any significant differences between the research and comparison groups for each of Westen's (1990) scales. All three groups were significantly different from each other on the Complexity of Representations of People scale ($F=36.7586$, $df=2,31$, $p<.01$). The mean scores were 1.64, 2.15, and 3.18 for the psychiatric, homeless, and indigent groups, respectively. This result suggests that the psychiatric comparison group, on the average, has considerable difficulty differentiating their own cognitions and affects from others, although they have some sense of separateness between themselves and others. The score for the homeless group suggests that they have a stable sense of self as separate from others, but that others exist as unidimensional beings with rather undifferentiated personalities that change with the circumstance: others

TABLE X

Thematic Apperception Test Ranges and Means

| | Homeless | | Psychiatric | | Indigent | |
|---|---|---|---|---|---|---|
| Scale | Range | Mean | Range | Mean | Range | Mean |
| Complexity | 1.4-2.6 | 2.15 | 1.0-2.2 | 1.64 | 2.4-4.2 | 3.18 |
| Affect | 2.8-4.0 | 3.30 | 2.8-4.0 | 3.28 | 2.6-3.8 | 3.22 |
| Investment | 2.0-3.2 | 2.57 | 1.6-2.8 | 1.94 | 1.2-3.0 | 2.26 |
| Causality | 1.4-2.6 | 2.17 | 1.2-2.0 | 1.56 | 1.6-3.4 | 2.64 |

TABLE XI

Thematic Apperception Test Reliabilities

| Scale | Reliability |
|---|---|
| Complexity | .91 |
| Affect | .79 |
| Investment | .86 |
| Causality | .89 |

TABLE XII

Thematic Apperception Test One-way ANOVA

| Scale | Mean Squares | F(2,31) | Significance |
|---|---|---|---|
| Complexity | 6.2071 | 36.7586 | .0001 |
| Affect | .0179 | .1214 | .8861 |
| Investment | 1.1711 | 6.9863 | .0031 |
| Causality | 2.9370 | 17.3207 | .0001 |

are "good" in one situation but "bad" in another. There is tenuous recognition that others exist across situations and have qualities that exist between such extremes. The indigent group's score suggests that, in addition to having a stable sense of self, they are able to make inferences about the "personality" of an other, and comprehend that others have an internal life. Their inferences and ideas about others is still rather unidimensional at times, and rather vague and non-specific.

No significant differences were found among the group means for the Affect-Tone of Relationship Paradigm scale ($F$=.1214, $df$= 2,31, $p$=.89). The mean scores, 3.22 for the indigent group, 3.28 for the psychiatric group, and 3.30 for the homeless group suggest that all the subjects have a range of affectively toned internalized object relation representations. These object representations are generally mildly negative.

On the Capacity for Emotional Investment in Relationships and Moral Standards scale there was a significant difference between the homeless and the psychiatric groups using a one-way analysis of variance and the Scheffé procedure ($F$=6.9863, $df$=2,31, $p$<.01). The psychiatric group's mean score of 1.94 suggests that they have some sense of the potential for conflict between their wants and the wants of others, but that they remain

primarily interested in gratifying their own wants and needs. Others are generally seen as sources of gratification, with relationships ending when the person's self interests are no longer served. The homeless and indigent group mean scores, 2.57 and 2.26 suggests that these groups have a more developed sense of right and wrong with respect to dealing with others. Their relationships are somewhat more valued for the sense of relatedness they bring, although friends are still often seen as interchangeable.

There were significant differences between all three groups on the Understanding of Social Causality scale ($F$=17.3207, $df$=2,31, $p$<.01). The psychiatric group's mean score of 1.56 suggests that their understanding of the causes and sources of others' behavior is rudimentary at best, and that their hypotheses about others' cognitions and affects are illogical. The homeless group's average score of 2.17 suggests that they conceive of other's behaviors as the result of environmental stimuli, or are the product of relatively simple feeling states in the other. The indigent group's mean score of 2.64 suggests that they have a rudimentary sense that psychological processes influence their and others' behavior, but that the behavior of others is nonetheless predominantly determined by external causes.

Rorschach

The summary of the ranges and means for the Rorschach data are presented in Table XIII; the reliabilities for this measure in the present study are shown in Table XIV. The one-way analysis of variance (Table XV) found no significant differences among the groups on the Concept of the Object Scale. On the overall development variable, the homeless group's mean score was 9.40, with the psychiatric and indigent groups' means scores 8.85 and 8.87, respectively ($F$=.0996, $df$=2,37, $p$=.91). On the accurately perceived developmental level variable, the homeless group's mean score was 6.20, with the psychiatric group's mean score 6.79, and the indigent group's mean score 6.87 ($F$=.0957, $df$=2,37, $p$=.91). On the inaccurately perceived developmental level variable the homeless group's mean score was 3.20, with the psychiatric and indigent group means of 2.06 and 1.20, respectively ($F$=.9144, $df$=2,37, $p$=.41). Taken together, this result suggests that, while the homeless group appears to have slightly better internalized object relations development than the comparison groups, there is little difference between them and the comparison groups with respect to their potential for reliance on idiosyncratic means of relating to others in real relationships. This result vaguely suggests that the homeless group members rely more on distanciated, fantasied internal relationships for

TABLE XIII

Rorschach Ranges and Means

| | Homeless | | Psychiatric | | Indigent | |
|---|---|---|---|---|---|---|
| Scale | Range | Mean | Range | Mean | Range | Mean |
| Ror+ | 0-12 | 6.20 | 0-16 | 6.80 | 0-17.5 | 6.87 |
| Ror- | 0-13 | 3.20 | 0-4.63 | 2.06 | 0-5 | 1.20 |
| RorTotal | 1-13.25 | 9.40 | 2-16 | 8.85 | 3.3-17 | 8.87 |

TABLE XIV

Rorschach Reliabilities

| Scale | Reliability |
|---|---|
| Differentiation | .92 |
| Articulation/Perceptual | .70 |
| Articulation/Functional | .70 |
| Motivation of Action | .85 |
| Integration of Object & Action | .81 |
| Nature of Action | .82 |
| Content of Action | .85 |

TABLE XV

Rorschach One-way ANOVA

| Scale | Mean Squares | F(2,37) | p |
|---|---|---|---|
| Ror+ | 1.9972 | .0957 | .91 |
| Ror- | 6.9231 | .9144 | .41 |
| RorTotal | 1.4933 | .0996 | .91 |

coping with their day-to-day lives than the indigent group members and the psychiatric group members. That the homeless group members would appear to rely more heavily on fantasied object relations than the psychiatric group is interesting and may reflect the effect of the homeless groups members' need to cope with a less predictable, more unstable environment compared with the psychiatric group members.

Given the highly verbal nature of these final two instruments further statistical analyses were carried out to detect any influence that verbal facility might have exerted on the results. The results of the one-tailed correlation tests are shown in Table XVI. Moderate positive correlations were found between the WAIS-R Vocabulary subtest and the Complexity of Representations of People scale ($r$=.5317, $p$<.01), the Capacity for Emotional Investment in Relationships and Moral Standards scale ($r$=.4295, $p$=.01), and the Understanding of Social Causality scale ($r$=.4834, $p$=.01). An analysis of covariance controlling for the WAIS-R Vocabulary subtest results was performed to remove the effect of verbal facility. The results of the ANCOVA are shown in Tables XVII and XVIII. The results of this procedure revealed negligible impact from the WAIS-R Vocabulary subtest such that there was no effect on the significance levels of the

TABLE XVI

WAIS-R Vocabulary Correlations

with Thematic Apperception Test and Rorschach

| TAT Scales | r | p | Rorschach Scales | r | p |
|---|---|---|---|---|---|
| Complexity | .5317 | .001 | Ror+ | .0375 | -- |
| Affect | .0963 | -- | Ror- | -.2478 | -- |
| Investment | .4295 | .01 | RorTotal | -.0996 | -- |
| Causality | .4834 | .01 | | | |

TABLE XVII

Analysis of Covariance:

Thematic Apperception Test

Controlling WAIS-R Vocabulary Effect

| TAT Scale | Mean Squares | F | p |
|---|---|---|---|
| Complexity | 4.241 | 30.449 | <.01 |
| Affect | .036 | .242 | .79 |
| Investment | 1.052 | 7.803 | <.01 |
| Causality | 1.969 | 12.862 | <.01 |

TABLE XVIII

Analysis of Covariance:

Rorschach Test

Controlling WAIS-R Vocabulary Effect

| Rorschach Scale | Mean Squares | F | p |
|---|---|---|---|
| Ror+ | 2.583 | .122 | .89 |
| Ror- | 8.953 | 1.293 | .29 |
| RorTotal | 1.919 | .126 | .89 |

main variables. Therefore, the interpretation of these results remains unchanged.

# CHAPTER IV

## DISCUSSION

The primary aim of this research project was to study and describe the homeless population in Knoxville in the characterological terms of clinical psychology, and to determine if any differences exist between them and two groups with whom the homeless are often compared; the indigent and the chronically mentally ill. The use of psychological tests rather than demographic data alone or a sociological survey is a unique feature of this project and, as such, effectively makes this a pilot study for any future research conducted in this manner.

Differences were detected among the three groups on a number of the measures used in this research project. The pattern formed by the constellation of variables suggests that the homeless may be seen as more like the indigent group than the psychiatric group, despite their frequent characterization as nothing more than chronically mentally-ill, indigent men. These results must be interpreted with due caution, however, given the many non-significant differences among the three groups. Based on the present findings and limitations of the data it is tentatively concluded that there are a few stable differences between the homeless and the comparison groups

that exist at the object relations level. A review of this phenomenon across some specific variables is in order.

On the marital status variable, subjects were classified as never married or never involved with someone for more than a few months, divorced or previously involved in significant relationships but not presently involved, or presently involved in a significant relationship or married. These classifications tend to mirror levels of capacity to engage in and keep close interpersonal relations, one external manifestation of increasingly developed internal object relations. On this variable the psychiatric group fared the worst, followed by the homeless subjects, then followed by the indigent comparison group.

The presence of significant substance abuse is considered a characteristic of a limited capacity for object relations (Adams, 1978). Eighty-four percent of the homeless sample, compared to fifty percent of the indigent reported significant problems in this area. The fifty percent rate reported by the psychiatric group is questionable, as it was often unclear by their accounts if they were self-medicating, rather than abusing intoxicants.

The MMPI scale results suggest that the homeless are substantially similar to the other groups. However, the

homeless group's more elevated Pd (Psychopathic deviate) score, compared to both the psychiatric and indigent comparison groups, could be construed as an expression of talionic rage in the homeless, rage over a primitive sense of being unsupported, uncared for, and abandoned. This is not to say that they are operating characterologically at this level of development -- although this too may be the case. Rather, the results imply that their ongoing status as persons of insecure means and unclear futures prompts this interpersonal anger as a result of unconscious anticipatory fears with respect to fundamental needs not being met. Given the tenuous nature of funding and survival of the places they depend upon for the necessities of minimal existence, this is not surprising. The Sc (Schizophrenia) scale results, when broken down to self- and other- object-loss components, revealed that the psychiatric comparison group members had the poorest internal object relations, with the indigent group having the best, with the homeless sample in between.

With respect to the composite MMPI profiles the psychiatric group's profile was indicative of panoramic psychic disruption, while the homeless profile was one of chronically poor interpersonal adjustment with a sense of anger towards others. The indigent group's profile was similarly indicative of chronically poor interpersonal adjustment, but it suggests the presence of less

interpersonal anger than in the homeless group. A comparison of the present homeless group's MMPI profile to that obtained by Kahn, Hannah, Hinken, Montgomery & Pitz (1987) also supports the hypothesis of a homeless "personality", as the profiles were virtually identical despite substantial differences in the geographic locations and ethnic compositions of the populations from which the homeless samples were drawn.

The average scores for the TAT, using Westen's (1990) scales, more clearly indicates that the development of object relations for the members of the three groups is where some stable differences lie. The psychiatric group was the least well developed, the homeless next, and the indigent group the best developed on the Complexity of Representations of People and Understanding Social Causality scales. That there were no significant differences among the groups on the Affect-Tone of Relationship Paradigms scale suggests that all three groups acknowledge that a range of affective experiences is possible within the context of an interpersonal relationship. Their expectancy, however, is that interpersonal relationships will be negative for the most part. There was no significant difference between the homeless and indigent groups on the Capacity for Emotional Investment in Relationships and Moral Development scale, although the homeless and psychiatric groups were

significantly different. This suggests that the homeless and indigent group members value relationships as more than simply situations where needs or desires can be met, but that they still do not see relationships as an end in-and-of themselves. This would be characteristic of higher levels of object relations development.

Using the data derived from Blatt, Brenneis & Schimek's (1976) method of scaling object relations material from Rorschach responses, the homeless group had the highest developmental level, followed by the indigent and psychiatric groups, in descending order. When accurate and inaccurate responses were considered separately, the homeless fell below the indigent and psychiatric comparison group members in terms of their style or approaches to managing their object relations. These results were somewhat more difficult to interpret, as the scores were not significantly different and were rather tightly clustered in a narrow range. These results, in light of the findings from the TAT and its implications of different object relations developmental levels among the three groups presents something of a theoretical puzzle, insofar as both scaling instruments as used and scored here purport to quantify object relations.

A number of hypotheses could account for this discrepancy. First, one might speculate that the Blatt, et al. (1976) technique is quantifying the most primitive

aspects of object relations -- i.e., at deeper levels of the unconscious than the Westen (1990) scales. Given this hypothesis we might conclude that the three groups are quite similar at the very core of their personalities, and that the TAT is registering more superficial interpersonal relationship styles. Second, there are significant differences in the demands placed upon the subject when producing a response to the Rorschach stimuli than to the TAT stimuli. The former requires the subject to impose structure onto an ambiguous stimulus with minimal guidance as to what is expected, the latter presents the subject with a clearer set of objects to deal with, and a more explicit frame of reference for the subject as to what is expected in the response. In this case one could possibly conclude that all three groups are rather structure-bound in their management of their worlds, and that imposition of structure by others is needed for all three groups to function well. Third, the Blatt, et al. and Westen scales may simply be measuring different aspects of object relations development, and these aspects are orthogonal components of the personality. For example, the Rorschach may be tapping the developmental level of unconscious object relations, while the TAT taps preconscious and conscious levels of the person's methods of dealing with real people in real circumstances. Finally, the Blatt, et al. scale may be comparatively too unidimensional in its

use of human movement and human content Rorschach percepts to account for all the aspects of complex interpersonal interactions.

Again, on the overall WAIS-R results, the psychiatric group fared worst, with clearly decremented performances while the indigent group performed the best, with approximately average scores, compared to the general population. The homeless scores fell in between. That this study found a nearly one-and-a-half scaled score point difference between the average WAIS-R scores for the indigent and homeless, despite nearly equal education levels, may suggest that emotional or psychological factors, in addition to intellective factors, are impacting effective day-to-day functioning in the homeless.

Given the above, in light of the overall test instrument data, we may now characterize and contrast the homeless with the indigent and chronic psychiatric comparison subjects. The global picture of the "average" homeless man in this sample is of someone who is more likely to have a substance abuse problem than the "average" indigent man, and is less likely to seek help for that problem. He is about as likely to have been in trouble with the law as his indigent counterpart, but for more serious offenses. He has significantly greater difficulty, compared with the "average" indigent man, in

terms of interpersonal functioning, particularly with the establishment and maintenance of rewarding, long term relationships. He would be seen by others both as troubled and troublesome. In most of these issues he fares better than the "average" chronic psychiatric patient, but not always by much.

Data for many of these differences between this "average" homeless man and the comparison group counterparts can be found in some of the test results. For example, the results of the WAIS-R provide more information about cognitive factors contributing to the functional differences among the groups. The "average" homeless man in this study appears to assimilate information less well than his indigent counterpart, and his verbal facility is less well developed than in his indigent counterpart, despite having, on the average, only a year's less formal education. The difference between the homeless and indigent groups' Similarities subtest scores in favor of the indigent group suggests further difficulties with abstract reasoning for the homeless man. This is compounded by the his poorer performance on the Comprehension subtest; which suggests some decrement in his ability to easily comprehend and appropriately respond to social situations. Taken together, a picture begins to form of the "average" homeless man, one who has difficulty comprehending what the environment requires of him, and

one who perhaps cannot carry the benefits of past experience to future situations.

The MMPI results provide the next indications of what may underlie the problems for the "average" homeless man. The profile is suggestive of someone who experiences chronic anger towards others, coupled with a possibly tenuous sense of where he fits in the world. He may even experience occasional lapses in social reality-testing. That he feels more anxious and distressed than his indigent counterpart is possibly accounted for by his less stable, less predictable environment. He is not as disrupted as his chronically mentally ill counterpart, but he is still worse off than his indigent counterpart. The differences among the groups in the DAP results, while not statistically significant, echo the sense of anxiety and conflict present in this group, as well as the other two.

The results of the TAT suggest that the "average" homeless man possesses a moderately stable sense of self in that he doesn't confuse his feelings with what he believes others are feeling. Yet, he does not fully understand that others are whole human beings who have stable personalities; there is an absence of the notion of consistency in the way others think or act that carries across situations. He tends to see the majority of relationships with others as negatively tinged, but not too much differently than do the members of the two

comparison groups do. The "average" homeless man has a poor capacity for emotionally investing in others. Finally, the TAT results suggest that the "average" homeless man believes that others' behaviors are more a matter of reactions to environmental stimuli, or at best the result of very simple affective states, than the result of psychological processes.

The results of the Concept of the Object scoring on the Rorschach revealed no statistically significant differences among the groups. The direction of the findings does suggest that perhaps underlying all the above is a higher developmental level of object relations for the "average" homeless man, but object relations that rely more heavily on distanciated fantasy that ultimately propels him towards social withdrawal when distressed.

We may describe the "average" indigent man in similar terms, for the most part. He is someone who is less likely to have a substance abuse problem than the "average" homeless man, but is more likely to seek help for that problem. He is about as likely to have been in trouble with the law as his homeless counterpart, but for less serious offenses. He has substantially more success with respect to interpersonal functioning than the "average" homeless man, particularly with the establishment of rewarding, long term relationships. He

would not be seen by others as being as troubled and troublesome as the "average" homeless man.

The results of the WAIS-R again give more information about factors contributing to the differences between the indigent men and the homeless and psychiatric groups. The "average" indigent man in this study assimilates information better than his homeless counterpart, and is about average compared to the population at large on this measure. His verbal facility is better developed than his homeless counterpart's verbal facility, although it is a bit lower than the nominal average for this subtest. His nominally average performance on the Comprehension subtest suggests that his ability to comprehend and respond appropriately to social situations is intact and functional. The "average" indigent man's Similarities subtest scores suggest no difficulties with abstract reasoning, where the "average" homeless man has substantial difficulty. Taken together, the picture of the "average" indigent man is of someone who has little difficulty in comprehending and responding appropriately to what the environment requires of him, and who has only minor difficulty with respect to verbal knowledge and skills.

The MMPI profile of the "average" indigent man is suggestive of someone who experiences frequent anger towards others, but not to the degree that the "average"

homeless man does. That he feels less anxious and distressed than his homeless counterpart is possibly accounted for by his more stable environment. He is not as disrupted as the "average" chronically mentally ill or homeless man, but he is still a bit worse off than the nominal average for this instrument.

The results of the TAT suggest that the "average" indigent man possesses a stable sense of self and that he does not confuse his own feelings with what he believes others are feeling. His inferences and conjectures about others are still rather unidimensional at times, but he conceives of others as whole human beings who have personalities and an internal (psychological) life that carries across situations. He still tends to see the majority of relationships with others as rather negatively tinged, but not much differently than the other two groups. The "average" indigent man has a poor capacity for emotionally investing in others, slightly worse than the "average" homeless man. Finally, the TAT results suggest that the "average" indigent man sees others' behavior predominantly as reactions to environmental stimuli, much as his homeless counterpart, but that he has some rudimentary sense of the psychological processes that underlie others' behavior.

The results of the Concept of the Object scoring on the Rorschach suggest somewhat less reliance on fantasied,

distanciated internal object relations for the indigent than the homeless. As such, the "average" indigent man is less likely to socially withdraw when experiencing distress.

The "average" member of the chronic psychiatric comparison group is by and large rather different than either of the two above. He is someone who most likely was abusing substances as an attempt at self medication. He is less likely to have been in trouble with the law as his homeless and indigent counterparts, with most encounters being part of the entry into the psychiatric system. He has had very little success with respect to interpersonal functioning, and is very unlikely to have never been involved in long term relationships. He would be seen by others as very troubled.

The results of the WAIS-R strongly suggest that he is severely lacking in the cognitive abilities needed to establish even a minimal existence outside a structured environment. The "average" man in the psychiatric comparison group assimilates information less well than either of his counterparts, and is substantially below average compared to the population at large on this measure. His verbal facility is poorly developed, reflecting the decrement associated with severe, long-term psychiatric problems. His significantly sub-average performance on the Comprehension subtest suggests that he

is only barely able to comprehend and respond to social situations in functional ways. The "average" psychiatric group member's Similarities subtest score again suggests significant difficulties with abstract reasoning. Taken together the "average" psychiatric group member is someone who has substantial cognitive deficits that disrupt his functional potential across the board.

The MMPI profile of this "average" psychiatric group member is suggestive of someone who experiences frequent disruptive internal states, substantially worse than either of the other two group's members. His more apparently stable environment does not seem to help diminish his sense of anxiety and distress. His sense of estrangement from others, outright paranoia, anxiety and agitation are at higher levels, compared with the other two groups.

The results of the TAT suggest that the "average" psychiatric group member possesses a rather unstable sense of self, with frequent confusion of his own cognitions and affects with what he believes others are thinking and feeling. To some degree others exist on a moment-to-moment basis for him. He tends to see the majority of relationships with others as rather negatively tinged, not much differently than the other two groups. His poor capacity for emotionally investing in others tends to put him in the position of seeking others who will be

"providers" to him, with little sense of the reciprocity involved in mutual relationships. Finally, the "average" psychiatric group member sees others' behavior as rather random, with little sense of the other as having any agency in their behavior.

The results of the Concept of the Object scoring on the Rorschach suggest somewhat less reliance on fantasied, distanciated internal object relations for the psychiatric group compared with the homeless group. These results suggest somewhat more of a tendency to withdraw than among the indigent group members, however

The implications of the foregoing issues with respect to ameliorating the problems of the homeless include building-in consideration of the character traits of homeless men when planning interventions. For example, given their rather poor social development and probable lack of "people skills" implied in the TAT and WAIS-R results, any services with respect to education, employment or housing searches, medical care, and so forth need to be provided in a manner that is sensitive to the character style of the homeless people. The results of this study, particularly the TAT data, suggest that providing educational or social skills development services will likely be helpful, but that the focus should be towards helping the homeless explore jobs that have

minimal requirements for social skills and social interaction.

This project began as a foray into relatively unknown territory for clinical psychologists, and in the process of carrying on the research some deficiencies were noted. For the mass of data collected, the number of research subjects was rather small. This is considered one of the more likely reasons for the problem of consistent, but non-significant differences that were found so often. Subject selection variables, too, may have had some uncontrolled impact on the results.

That the chronically mentally-ill comparison group members were able to complete such a long protocol suggests that they may have been more functional than is "average" for such a population, possibly skewing the data in a more functional direction. That the indigent subjects participated in such a lengthy protocol in exchange for relatively modest sums of money suggests that possibly they were somewhat less functional than the rest of their population on the average, thus skewing the data in an unfavorable direction. Both possibilities would tend to mask differences between the comparison groups and the homeless sample. The protocol itself was long and taxing to the subjects, and could be shortened in some areas.

The generalizability of the present findings are rather limited due to the small number of subjects, the above mentioned subject self-selection effects and changes in the homeless population that have occurred since the project began. Further, only men were included in this study, which certainly limits their applicability where homeless women are concerned. However, in light of the significant findings of this project, research using these assessment devices with this population should continue. More longitudinally based studies need to be considered for future research.

Specific questions to address in future research could include exploration of the personalities of people who successfully return to a domiciled lifestyle versus those who remain on the streets; characterological differences between the homeless who frequently use the shelters and those who typically avoid the shelters; and perhaps issues surrounding personality characteristics of effective service providers for the homeless.

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# APPENDICES

# APPENDIX A

# NEEDED:

Several men to help with a research project about the economically disadvantaged.

**Qualifications:**

* Between 19 and 58 years old;

* Receiving some sort of government assistance; (G.A., S.S.I., rent subsidy, or other)

* Unemployed, under-employed, or in job training;

* Have a regular address where you live; (Apartment, house, but not a shelter)

* No history of long term psychiatric hospitalization, major psychiatric illness, or ongoing use of psychiatric medications; (Counseling is okay)

* A willingness to participate in a project that will help others.

Men who are chosen for this project will receive $20 at the end of the session. Please ask Annie for an information and consent form if you are interested. Signing up for this project does not guarantee that you will be asked to be part of it, only a few men are needed. The researcher will be here on at 2:00 p.m. to talk with anyone who has signed up and left the form with Annie or Jan.

# APPENDIX B

## Informed Consent Form

I understand that this testing and interviewing procedure is for research purposes, and that I will be paid $10.00 when I complete the entire procedure.

I understand that all identifying information will be removed from the data when it is coded for research, and that all information obtained will be kept strictly confidential, in locked files.

In the event that I am in a rehabilitation program I can elect to have this information given to those who run that program by checking the appropriate line below.

I an free to ask any questions, to refuse to answer any questions or to terminate participation at any time I chose.

If I am in a rehabilitation program I do ___ do not ___ wish for this information to be given to those administering the Program.

Signature_____

Date_____

## INFORMATION and CONSENT FORM

This is a study about homeless people living in Knoxville and Knox County. During this study you will be taking several standard psychological tests, and talking about your personal history. Because this information is personal your name will not be put on any of the papers, just a number. The tests you will be taking and the questions you will be answering are ones that are regularly used by psychologists, and you may already be familiar with some of them. For example, many of the questions are answered "yes" or "no", but some will need to be answered with facts you already know, with stories you make up, or with descriptions of what you see.

Although these tests and questions are not risky or intended to make you upset, people sometimes find it uncomfortable to talk about personal matters openly. If you feel uncomfortable during the session, or begin to feel upset, or simply don't understand what you are supposed to do please stop and tell the examiner. Most of the time people find these tests and questions interesting and challenging. The testing is expected to take four to six hours, but sometimes it might take a bit longer. It can be done in more than one session if needed. Remember that you are free to ask questions anytime, and that you can stop participating at any time. Stopping will not have any effect on your treatment at the hospital, but if you stop before the testing is finished you will not receive the compensation at the end of the session.

By participating in this study you get to see how research with people is done, and perhaps you will get to know more about yourself. The information you give in this study is confidential, but if you tell the examiner that you want to hurt yourself or someone else then the examiner must tell your doctor.

Please read this page carefully and ask any questions you have. Please sign on the line below if you wish to participate.

_____ _____

Sign Here Date

INFORMATION and CONSENT FORM

This is a study about homeless people living in Knoxville and Knox County. During this study you will be taking several standard psychological tests, and talking about your personal history. Because this information is personal your name will not be put on any of the papers, just a number. The tests you will be taking and the questions you will be answering are ones that are regularly used by psychologists. Many of the questions are simply answered "yes" or "no", but some will need to be answered with facts you already know, with stories you make up, or with descriptions of what you see.

Although these tests and questions are not usually considered risky or intended to be upsetting, people sometimes find it uncomfortable to talk about personal matters openly. If you feel uncomfortable during the session or simply don't understand what you are supposed to do please stop and tell the examiner. Most of the time people find these tests and questions interesting and challenging. The testing is expected to take four to six hours, but sometimes it might take a bit longer. It can be done in more than one session if needed. Remember that you are free to ask questions anytime, and that you can stop participating at any time. Stopping will not have any effect on your participation at Vocational Rehabilitation but if you stop before the testing is finished you will not receive the compensation at the end of the session.

By participating in this study you get to see how research with people is done, and perhaps you will get to know more about yourself. The information you give in this study is confidential, and will not be available to your V.R. counselor.

Please read this page carefully and ask any questions you have. Please sign on the line below if you wish to participate.

_____ _____

Sign Here Date

# APPENDIX C

## Questions for Homeless Study

1. Demographic data: Name, date of birth, sex, age, education, degrees, martial status, children, siblings, jobs last worked (work history), race, last four digits of Social Security number.

2. Where were you born and raised?

3. Information about parents. Father's, Mother's jobs, etc.

4. Additional clinical data to give a picture of the subject.

5. What do you do for friends? (Discuss friendship in depth, if possible).

6. What sorts of things do you do with friends?

7. How do you manage getting along all day?
   a. Do you have any family?
   b. Do you have ant contact with your family?
   c. Discuss family relationships and other object relations.

8. How long have you been without a place to live?

9. How is it that you came to be without a home?

10. Where do you sleep?

11. Where do you get food?

12. Have you ever been admitted to a mental hospital? Explain.

13. What kinds of help do you receive from community agencies: e.g. shelters, soup kitchens, etc.

14. Do you take drugs? type, amount

15. Do you use alcohol? How much, how often?

16. Have you ever been in prison? If yes, how many times and why?

17. Please tell me about your 3 earliest memories in childhood.

18. Discuss issues of the future with the subject.

# APPENDIX D

# SOCIAL COGNITION AND OBJECT RELATIONS SCALES (SCORS): MANUAL FOR CODING TAT DATA

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SYNOPSIS OF SCALES

## Complexity of Representations of People

Principle: scale measures the extent to which the subject clearly differentiates the perspectives of self and others; sees the self and others as having stable, enduring, multidimensional dispositions; and sees the self and others as psychological beings with complex motives and subjective experience.

Level 1: at Level 1 the person does not see others as clearly differentiated or bounded, and/or does not differentiate his own thoughts and feelings from those of others.

Level 2: at Level 2 the person sees people as clearly bounded, separate from self and from each other, but lacks an elaborate sense or people's subjective states, motives, or enduring characteristics. The focus is largely on behaviors and momentary actions. People are seen as primarily unidimensional, existing <u>in</u> situations rather than <u>across</u> situations. Where people are understood as having enduring qualities, these are generally global, evaluative traits like "nice" or "mean."

Level 3: at Level 3 the person makes inferences about subjective states in addition to focusing on behavior. Understanding of other people's psychological processes and subjective experience does not, however, delve far beneath the surface. The person has ideas or "theories" about others' enduring characteristics, but these intuitive theories are either unidimensional, overly general, or lacking in subtlety. There is little sense that people could do things "out of character" or experience psychological conflicts.

Level 4: at Level 4 the person has an appreciation for the complexity or the subjective states of others and has a multifaceted view of personality dispositions. Component parts of personality are not yet understood as aspects of an interacting system, in which enduring dispositions can come into conflict or be brought to bear in different ways in different situations. While the person recognizes the potential for disparities among actions, self-presentations, and internal states, he or she has minimal awareness of disparities between conscious and unconscious mental events.

Level 5: at Level 5 the person sees people in complex ways, making elaborate inferences about their mental states, motivations, points of view, and unconscious processes. People are seen as having conflicting feelings and dispositions, and as expressing different aspects of their personalities in different situations.

## Affect-tone of Relationship Paradigms

Principle: scale measures affective quality of representations of people and relationships. It attempts to assess the extent to which the person expects from the world, and particularly from the world of people, profound malevolence or overwhelming pain, or views social interaction as basically benign and enriching.

Level 1: at Level 1 the person views the social world as tremendously threatening and/or experiences life as overwhelmingly capricious and painful. People are seen as abandoning, abusing, or destroying others and oneself with no reason, other than perhaps maliciousness or unconcern. People are often classified as victims and victimizers.

Level 2: at Level 2 the person views the world, and particularly the world of people, as hostile, capricious, empty, or distant, but not overwhelming. The person may feel tremendously alone. People may be experienced as unpleasant or uncaring, but not primarily as threats to one's existence.

Level 3: at Level 3 the person has a range of affectively charged object representations/person schemas and interpersonal expectancies, though these are not primarily positive. People are seen as capable of loving and being loved, of caring and being cared for, but on balance social interaction is evaluated as mildly negative.

Level 4: at Level 4 the person has a range of affectively charged object representations/person schemas and interpersonal expectancies. People are seen as capable of loving and being loved, or caring and being cared for, but on balance social relations are evaluated as neutral or mixed.

Level 5: at Level 5 the person has a range of affectively charged object representations/person schemas and interpersonal expectancies, but on balance relations with others are seen as positive. The person generally expects to like or enjoy other people, to be liked by them, and to be able to count on them with some consistency.

## Capacity for Emotional Investment in Relationships and Moral Standards

Principle: scale measures the extent to which others are treated as ends rather than means, events are regarded in terms other than need-gratification, moral standards are developed and considered, and relationships are experienced as meaningful and committed.

Level 1: at Level 1 the person is primarily concerned with, and views good and evil in terms or, his or her own gratification (and expects that others do the same). People are seen as existing only in relation to oneself: they are treated as tools for the achievement of one's desires; as mirrors or audience for one's displays; or as impediments to one's gratification. People may be seen as useful or comforting at the moment but are not invested in emotionally for their unique characteristics. Rules and authorities are seen as obstacles unless momentarily useful.

Level 2: at Level 2 the person has a clear sense of potential conflicts between the needs or desires or self and others, though the primary aim remains the satisfaction of one's own wishes. There is a rudimentary sense of right and wrong, characterized by an equation of prudence and morality (i.e., bad actions are bad because they lead to punishment), and the person experiences some remorse following impulsive action. Moral injunctions that exist may be primitive and harsh. Although the person may clearly have attachments, investment in other people (i.e., concern for, and pursuit of the good of significant others) remains clearly secondary to self-interest. Friends are valued but in many respects remain interchangeable; the basis for friendship tends to be shared activity.

Level 3: at Level 3 the person considers the needs and wishes of significant others in making decisions. Pleasing other people, being liked, and behaving in accord with the standards of respected authorities are salient aims which often override self-interest. The person is concerned with being good and experiences guilt when his or her thoughts, feelings, or actions conflict with internalized standards. Rules are respected because they are rules; manners and conventions are seen as important and even natural. Moral rules are relatively rigid and concrete, and there may be a pronounced sense of

duty, particularly to certain people. Relationships are valued but may not be very deep.

Level 4: at Level 4 the person is capable of forming deep, committed relationships in which the other is valued for his/her unique qualities. Commitment to others often overrides personal desires, but actions on behalf of another are undertaken without a rigid sense of duty or a predominant desire to be liked for one's good deeds. Moral judgments, values, and modes of conflict-resolution remain relatively conventional. The person is concerned with doing the right thing, as defined by society or respected authorities, which is frequently expressed in more abstract terms and is often self-abnegatory. Relationships are seen as lasting over time and involving considerable commitment and intimacy.

Level 5: at Level 5 the person treats self and others as ends rather than means. The person is interested in the development and happiness of both self and others, and attempts to achieve autonomous selfhood within the context of real involvement with, and investment in others. Conflicts between people with conflicting legitimate interests are understood as requiring compromise. Authorities and rules are not taken to be absolute: the person has a sense of the conventional nature of social rules and believes that at times these must be overridden or changed because they conflict with self-generated or carefully considered standards, or when they do significant harm to people in concrete circumstances.

## Understanding of Social Causality

Principle: scale measures the extent to which attributions of the causes of people's actions, thoughts, and feelings are logical, accurate, complex, and psychologically-minded.

Level 1: at Level 1 the person does not understand the concept of causality in the social realm. There is either no sense of necessity to understand why behaviors, feelings, or situations emerge, or explanations that are advanced are grossly illogical.

Level 2: at Level 2 the person has a rudimentary understanding of social causality. Actions are explained as responses to environmental stimuli or as resulting from simple feelings or intentions. Explanations of behaviors, feelings, or interactions frequently have mild logic errors or inconsistencies.

Level 3: at Level 3 the person can logically and accurately explain social phenomena. Although the person recognizes that psychological processes influence action, causality is seen as largely external to the person.

Level 4: at Level 4 the person has a basic understanding of the role of psychological events in motivating action. There is considerable recognition of the importance of people's thoughts and perceptions in mediating between stimulus and response, though understanding of psychological causality is incomplete or applied only irregularly.

Level 5: at Level 5 the person understands feelings and behaviors as caused by psychological processes, which may or may not be elicited by environmental stimuli. Complex thoughts, feelings, and conflicts are seen as mediating action. The person makes complex inferences about the psychological processes of others and attempts to influence others' perceptions.

# APPENDIX E

## SCORING RULES

### Complexity of Representations of People

Principle: scale measures the extent to which the subject clearly differentiates the perspectives of self and others; sees the self and others as having stable, enduring, multidimensional dispositions; and sees the self and others as psychological beings with complex motives and subjective experience.

Level 1: lack of clear differentiation between characters; boundary confusion; confusion of points of view.

Level 2: characters separate but unidimensional; emphasis on momentary actions or physical descriptions of characters; fluid characterization.

Level 3: characters described as having some, though relatively simple, enduring qualities; some elaboration of psychological processes or internal life; some sense of continuity over time of attitudes or simple dispositions.

Level 4: characters recognized as having complex subjective states, enduring characteristics, or mixed emotions or attributes.

Level 5: characters recognized as possessing enduring and momentary traits and states, complex motives or conflicts, or mixed feelings or attributes with complex subjective experience.

General scoring rules: (1) Where the bulk of a story is clearly one level but some brief remark is two or more levels above or below, score the intermediate level. Otherwise, score highest level attained. (2) Any intrusion of poor differentiation, boundary confusion, or confusion of characters' points of view "spoils" an otherwise high-level response and automatically brings the score to Level 1.

#### Level 1

Principle: at Level 1 the person does not see others as clearly differentiated or bounded, and/or does not differentiate his own thoughts and feelings from those of others.

(1) Score for characters who are "twinning," i.e., seen as sharing the same situation, thoughts, or feelings,

particularly if this seems highly unlikely. Characters represented in the picture may be described as an undifferentiated "they," with a single set of thoughts, feelings, or intentions, when this is unlikely. Do not score if shared experience seems reasonable in the context of the story and there are at least some unshared thoughts and feelings. Characters seen as in conflict may be described as sharing the same thoughts or worrying about one of the characters' plight; e.g., "they're both worried about her being alone." Emotions may be attributed to situations or to the story as a whole, or subject may not clearly differentiate whose emotion is whose. Score for unreferenced pronouns that are not corrected and do not appear simply to reflect grammatical errors; e.g., in a story about a mother and a son (with no father mentioned) arguing, the subject states in the midst of describing their argument that "they might feel helpless, that they don't know what to do to help their son" (where the first "they" clearly referred to mother and son, but the second is indeterminate). If main characters are described in an undifferentiated way, score Level 1 even if other, more peripheral characters are bounded. Score undifferentiated characters on Card 10 as Level 2 or 3, depending on complexity of subjectivity ascribed to them.

(2) Score if one character represented in the card is seen as a thought in the mind of another, where lack of elaboration or the literal (as opposed to metaphorical) quality of the response suggests that this is not a playful, symbolic response but instead represents a failure to recognize the independence and basic separateness of characters.

(3) Score for response that suggests a boundary confusion or the confusion of the physical and the psychological. For example, "For some reason I don't think the father's gonna make it, because of the way the doctor looks--kind of fuzzy, not definite. When I think of things as clear or definite, I think of them as confident or sure. [is the doctor fuzzy about it, or is the picture fuzzy?] The picture is fuzzy." Or: "There's another really faded out impression in the corner of a woman sitting near his brain, so maybe she wants him to be with her and not with someone else."

(4) Score for failure to define any character at all (e.g., "there's a violin in this picture, and it's going to be played").

Level 2

Principle: at Level 2 the person sees people as clearly bounded, separate from self and from each other, but lacks an elaborate sense of people's subjective states, motives, or enduring characteristics. The focus is largely on behaviors and momentary actions. People are seen as primarily unidimensional, existing in situations rather than across situations. Where people are understood as having enduring qualities, these are generally global, evaluative traits like "nice" or "mean."

(1) Score for lack of complexity of characterization. Characters are minimally elaborated or unidimensional, with description of simple thoughts and feelings not going much beyond the tester's instructions to provide these details. Subject's emphasis may be on physical description of characters, with no elaboration of their internal lives. Any traits used to describe them are global, evaluative, and univalent; e.g., "he's an evil person," or "she is nice." Score when even relatively complex-sounding traits seem to be affective rather than cognitively driven (i.e., based primarily on a univalent feeling of liking or disliking, as when a character who is described with seeming complexity is really nothing but a witch). Presence of salient affect-driven representations in a response "spoils" an otherwise higher-level response and leads to a score of Level 2. If there is a strong suspicion, but not certainty, that a seemingly complex representation is affect-driven, score Level 3.

(2) Score for characters who seem to have a momentary existence, with no sense of continuity, enduring dispositions, or life history, except perhaps unelaborated recent history grafted on. For example, someone stole the money or two characters, and "I think they're gonna look for it, and before, they thought they were stealing money." People may be defined in terms of momentary actions; e.g., "he saw a house and wanted to go in it, and it was real scary and he got scared when he went in the door so he ran out..." Score when the subject describes what the character does (i.e., behaviors) rather than describing traits or dispositions that give a picture of who the character is.

(3) Score for fluidity of characterization, even where the character is complex; e.g., "she's either very asleep or she doesn't care either way that he's standing there or not." Do not score for fluidity when the character changes because the subject changes the story. Only score where the subject clearly does not seem to keep one relatively coherent representation of the character in

mind while presenting the story. Score for affectively "split" representations of the same person at two different points in a story, even if the representations at each point are complex, when the subject cannot, or does not, see the need to integrate two opposing univalent descriptions. For example, score where a character is evil and later becomes totally good, without adequate explanation of the transformation. Split responses of this sort "spoil" an otherwise higher-level response.

(4) Score for simple understanding of feeling-states and intentions. Judgments of feeling may involve simple reading off of facial expressions, with no elaboration of psychic life; e.g., "the one on top seems really calm, the other seems really frightened, or concentrating on one thing; the one by the tree seems to be concentrating only on her." Feelings may be described with terms such as "sick" or "tired," or with relatively simple and unelaborated emotion words; e.g., "she is very upset," "he is angry." If the subject imagines a character experiencing two emotions, she or he cannot see how to integrate them and thus offers the two emotions as alternative versions of the story.

Level 3

Principle: at Level 3 the person makes inferences about subjective states in addition to focusing on behavior. Understanding of other people's psychological processes and subjective experience does not, however, delve far beneath the surface. The person has ideas or "theories" about others' enduring characteristics, but these intuitive theories are either unidimensional, overly general, or lacking in subtlety. There is little sense that people could do things "out of character" or experience psychological conflicts.

(1) Score for minor elaboration of characters' mental lives, beyond description of simple feeling states or intentions, where characters remain stereotypic or not well developed.

(2) Score for some minimal sense of trait continuity over time or some mention of enduring attitudes, where characters remain unidimensional; e.g., "this is a little boy who usually likes to play music." Do not score for continuity of actions when implications are not explicitly drawn about the character's disposition; e.g., "he normally does that," or, "he practices everyday." Do not score for statements like, "this is a boy who likes to play the violin," when these are essentially extensions of the current scene, unless

specifically qualified by a statement implying a longer-term disposition (e.g., "this is a boy who has wanted to play the violin for many years").

(3) Score where a character experiences one relatively simple emotion which is ascribed to multiple causes, at least one of which is described in terms of its subjective components (e.g., "she is upset because she is afraid he will die and also because she does not want to be alone").

(4) Score for minor fluidity of characters where the coder has a clear sense after reading the story what the character is like.

(5) Score for recognition of a difference between reality and appearance with respect to emotions; e.g., "he's acting like he hates the violin because he wants them to think he hates it so he can really surprise them when he plays the song."

(6) Score where the subject provides a relatively rich or elaborate picture of the character which says little about the character's enduring personality or mental life; in other words, provide for elaborations on the context of the person or the social roles he or she plays where there is minimal psychological description of the person (e.g., "this is an immigrant child in the 1920s"). Do not score for elaborate physical descriptions.

Level 4

Principle: at Level 4 the person has an appreciation for the complexity of the subjective states of others and has a multifaceted view of personality dispositions. Component parts of personality are not yet understood as aspects an interacting system, in which enduring dispositions can come into conflict or brought to bear in different ways in different situations. While the person recognizes the potential for disparities among actions, self-presentations, and internal states, he or she has minimal awareness of disparities between conscious and unconscious mental events.

(1) Score for detailed elaboration of subjective states in the specific situation of the story. Where there is, in addition, more than a minimal sense of what the character is like in other situations or sense of enduring qualities, score Level 5.

(2) Score for a sense of enduring qualities (other than simple traits or likes and dislikes) ascribed to a character without much elaboration of subjectivity.

(3) Score where two global, relatively simple traits with opposite affective valence are ascribed to the same character (e.g., "she's nice but dumb").

(4) Score for explicit recognition that characters have mental conflicts, when such conflicts are either unelaborated or elaborated only during inquiry and do not appear to have been central in shaping the action of the story. Score for detailed elaboration of characters' psychic lives when such elaboration has no relation to the character's current actions or to the plot; e.g., subject tells a story about a man rationally discussing a business deal with his father, and then proceeds in the inquiry to provide a detailed sketch of the character's long-standing fears of sexuality. Score for some sense of extended timeframe for a character's psychological predicament or dilemma.

(5) Score where characters experience mixed emotions, where there is little sense of what the character is like outside of the particular situation.

(6) Score for characters whose enduring personality dispositions are described with qualification; e.g., "she's sometimes quick to get angry, but not always."

(7) Score for simple conflicting intentions (e.g., "he knew he should speak up on her behalf, but he couldn't do it himself").

Level 5

Principle: at Level 5 the person sees people in complex ways, making elaborate inferences about their mental states, motivations, points of view, and unconscious processes. People are seen as having conflicting feelings and dispositions, and as expressing different aspects of their personalities in different situations.

(1) Score for characters whose subjective experience is elaborated and who are also either multidimensional or seen in the context of enduring dispositions. Score for characters who are described as having both enduring and momentary traits and states (which need not be conflicting or discrepant). Do not score for ornate elaborations of a character's momentary dilemma or experience in one dimension (e.g., lengthy description of a boy as a violin

player without extended temporal dimension to his psychological attributes); score Level 4.

(2) Score for explicit contrasts between the way the character is in the picture and the way s/he usually is, where the character's qualities are well developed.

(3) Score for characters who are described as experiencing ambivalent feelings simultaneously, where there is some sense of what the character is like out of the particular situation.

(4) Score for characters who have extremely complex motives or elaborated mental conflicts. Do not score for momentary situational conflicts between characters; e.g., "she wants him to stay, and he's considering it but will leave."

(5) Score where characteristics or traits with opposite affective valence are ascribed to the same character, where at least one such trait is not global or is qualified (e.g., "she's nice, but sometimes she doesn't think things out"; "she's smart, but she's thoughtless").

## Affect-tone of Relationship Paradigms

Principle: scale measures affective quality of representations of people and relationships. It attempts to assess the extent to which the person expects from the world, and particularly from the world of people, profound malevolence or overwhelming pain, or views social interaction as basically benign and enriching.

Level 1: unambiguously malevolent or overwhelmingly painful; grossly negligent caretakers or significant others.

Level 2: predominantly hostile but not overwhelming; empty; profound disappointment or loneliness; negligence and indifference.

Level 3: mixed representations, mildly negative tone.

Level 4: mixed representations, neutral tone.

Level 5: predominantly positive; sense of benign interdependence.

General scoring rules: (1) consider transitional objects (pets, teddy-bears, etc.) as human objects; (2) score primarily for affect-tone of relationship paradigms

and only secondarily for optimism or pessimism or story. For example, if relationships are seen as eventuating in pain or disappointment, but the character adapts by finding a way to be content in isolation, score primarily for the experience of relationships as negative. (3) If subject describes characters as happy in the face of others' misfortunes, do not score up for mixed affects; score for unambiguously negatively-toned interpersonal schemata. (4) Gratuitous violence where not typically seen "spoils" an otherwise higher-level response, unless the affect-tone of relationships depicted clearly cannot be accurately scored as Level 1.

Level 1

Principle: at Level 1 the person views the social world as tremendously threatening and/or experiences life as overwhelmingly capricious and painful. People are seen as abandoning, abusing, or destroying others and oneself with no reason, other than perhaps maliciousness or unconcern. People are often classified as victims and victimizers.

(1) Score for unambiguously malevolent representations of people or interaction, or for grossly negligent caretakers or significant others. If character escapes malevolence through his own efforts or those of someone else, score Level 2. If the story is overwhelmingly about evil and malevolence, and a savior theme is tacked on at the end and is not integral to the real action of the story, score Level 1.

(2) Score for gratuitous violence or aggression where not common (e.g., Card 3BM, "she got beaten up"; or Card 4, "he's gonna slap her across the face"), or violence toward animals, unless focus is on succorance from someone who prevents the violence.

(3) Do not score for ordinary malevolent responses to cards 15, 18GF, or 13MF; subject must add idiosyncratic malevolent elaboration to score Level 1 on these cards. If character is seen as hostile with minimal idiosyncratic elaboration, score Level 2.

(4) Do not score fights between characters that reflect competition or masculine bravura, unless elaborated with idiosyncratic malevolence; e.g., do not score for fistfights on Card 4 unless idiosyncratically traumatic or malevolent; score Level 2.

Level 2

Principle: at Level 2 the person views the world, and particularly the world of people, as hostile, capricious, empty, or distant, but not overwhelming. The person may feel tremendously alone. People may be experienced as unpleasant or uncaring, but not primarily as threats to one's existence.

(1) Score for predominantly hostile interactions which are not overwhelming. People may be seen as capricious, the world may be experienced as very threatening but without significant violence, or life may be seen as offering character/s a very unpleasant existence.

(2) Score for sense of people as unempathic or as passing strangers (e.g., "in their own worlds"), where this is upsetting to the characters or subject. For example, "she's either very asleep or doesn't care either way that he's standing there or not--not paying him any attention at all. That could be what's upsetting him." People may be seen as pushing others into doing things, with minimal interaction or consideration on either part. If characters are bland and unelaborated but not bland and indifferent toward each other, score Level 3 or 4.

(3) Score for profound loneliness or sense of aloneness. If the story manifests an overwhelming sense of loss or loneliness with only one small "bright spot," score Level 2.

(4) Score for character running from someone, even with implication of running for life, where there is no elaboration of general malevolence.

(5) Score for victimization, where victimization is seen as partly self-generated, not only the result of malevolent or impersonal forces.

(6) Score for failed ministrations by well-intending others, or escape from malevolent forces.

(7) Score for escape from a very unpleasant existence through one's own efforts, where there is no help from others and no clear sense of relatedness to others.

(8) Score for implied compassion of one character for another.

(9) Score for physical fights reflecting bravura or competitiveness.

(10) Score for defensively positive stories, or for inability to produce a story where it is clear that the subject is warding off aggressive or highly unpleasant content. Score only where it is clear that the subject is disturbed by the material (e.g., "I'm not going to tell that story. Let's make this about two lovers"). Do not score for tacked-on happy endings when the subject seems undisturbed by the content, or appears amused or playful in providing a glib ending. If defensive affect-tone is strongly suspected but not clear, or the subject is more obsessional in his/her indecision about which affect-tone to choose, score Level 3.

Level 3

Principle: at Level 3 the person has a range of affectively charged object representations/person schemas and interpersonal expectancies, though these are not primarily positive. People are seen as capable of loving and being loved, of caring and being cared for, but on balance social interaction is evaluated as mildly negative.

(1) Score for mildly negative representations. Score for arguments between characters without malevolence.

(2) Score for affectively mixed representations where the tone is largely negative or where a character was saved by another from an interpersonally-inflicted (though non-lethal) harm (e.g., an unfair accusation). Different characters may represent different affect-tones of the object world[1]; e.g., a man is falsely accused of a crime but is saved by a wise lawyer. Any explicit sense of real compassion by a character brings the response at least to Level 3.

(3) Score for character being comforted after a loss unless relatedness between living characters is clearly an afterthought tacked onto a story about overwhelming loneliness (in which case, score Level 2).

(4) Score for escape from danger effected through the help of benevolent others, where the danger is not the result of malevolent or abusive forces (e.g., a boy is saved from death by a surgeon). Where escape from malevolence (i.e., real danger resulting from an

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[1]"Object world" refers to the person's entire ensemble of generalized and specific representations of people (i.e., cognitive-affective interpersonal schemas).

intentional force) occurs with help from others, score Level 2.

(5) Score where no interaction between characters is depicted, and the affect-tone is consequently neutral (e.g., "the woman went into the room and saw the vase which the wind had knocked over. She picked it up and left.")

Level 4

Principle: at Level 4 the person has a range of affectively charged object representations/person schemas and interpersonal expectancies. People are seen as capable of loving and being loved, of caring and being cared for, but on balance social relations are evaluated as neutral or mixed.

(1) Score for affectively mixed interactions where there is no real danger to characters. Characters may be in conflict, but the outcome of their conflicts or decisions is not calamitous (e.g., man and woman who love each other in conflict about whether he should go to war, and he eventually does so but returns unharmed).

(2) Score if characters are somewhat bland and unelaborated but do not appear averse to relating to each other.

(3) Score for minimal affect involved in the story, where the affect tone is relatively neutral. If the affect-tone is neutral because no relationships are described at all, score Level 3.

(4) Score for giving or sharing, where this seems more to be an expectation or social obligation than an act of good will, love, or generosity.

Level 5

Principle: at Level 5 the person has a range of affectively charged object representations/person schemas and interpersonal expectancies, but on balance relations with others are seen as positive. The person generally expects to like or enjoy other people, to be liked by them, and to be able to count on them with some consistency.

(1) Score for predominantly positive characters and interactions. People may be seen as doing things for each other or responding to each others' wishes. Do not score if the story includes a loss of a significant other

(scores Levels 1-3, or 4 in rare cases if loss is largely a backdrop to a story with positive affect tone of relationships).

(2) Score where there is a mix of affects with predominantly positive feeling tone.

(3) Score for people being successful and happy in their endeavors.

Capacity for Emotional Investment in Relationships and Moral Standards

Principle: scale measures the extent to which others are treated as ends rather than means, events are regarded in terms other than need-gratification, moral standards are developed and considered, and relationships are experienced as meaningful and committed.

Level 1: need-gratification is primary aim, even in interpersonal relations: characters self-preoccupied; people seen as tools for character's gratification without consideration of conflicting needs or wishes.

Level 2: moral conflict or conflicting interests recognized, but single character's needs are clearly central; moral demands followed to avoid punishment; harsh and primitive moral injunctions; friendships interchangeable.

Level 3: stereotypic compassion or mutuality; obedience to internalized, conventional moral standards or duty; orientation to pleasing others.

Level 4: long-term, committed relationships; mature empathy; commitment to abstract ideals.

Level 5: compromise between autonomous actors; concern for conflicting interests; adherence to moral principles despite unconventionality or unpopularity; pursuit of self-development in context of meaningful relationships.

General scoring rules: (1) Score for highest level attained unless an otherwise conventional-sounding story is "spoiled" by the breakthrough of material suggesting profound self-preoccupation or a need-gratifying orientation to relationships. Because subjects' responses on this scale are biased by social desirability, evidence of low level emotional investment on the part of the subject that slips through outweighs higher-level material. (2) Where the subject betrays functioning two

or more levels apart (e.g., Level 4 commitment to someone but also Level 2 sense of primitive badness), score the intermediate level unless one is clearly predominant or generative of the other (e.g., when extraordinary devotion to someone reflects a need to allay a primitive sense of guilt). This scoring rule should be used very rarely.

Level 1

Principle: at Level 1 the person is primarily concerned with, and views good and evil in terms of, his or her own gratification (and expects that others do the same). People are seen as existing only in relation to oneself: they are treated as tools for the achievement of one's desires as mirrors or audience for one's displays; or as impediments to one's gratification. People may be seen as useful or comforting at the moment but are not invested in emotionally for their unique characteristics. Rules and authorities are seen as obstacles unless momentarily useful.

(1) Score for wanton trickery or pursuit of self-interest without any concern for others. Subject portrays characters carrying out proscribed or clearly deleterious acts (e.g., killing, raping) without any sense of remorse, or feeling primarily happy in the face of their own bad deeds or someone else's misery. If this response occurs on Card 15, score as Level 2, unless it is idiosyncratically elaborated or subject clearly identifies with the character. Score Level 2 or 3 if subject uses morally evaluative terms to describe the event, such as "these people are really bad," or "people shouldn't be treated that way."

(2) Score for focus on only one character's point of view in a conflict, or lack of recognition of conflict between characters where conflict is clear from the story. Score for people pursuing their own needs without regard for each other or each other's perspective, or pursuit of need-satisfaction as a response to failures of significant others. Score where a character takes an action with major impact on significant others without apparent concern or interest in their wishes or their actual viewpoint. Do not score for parents imposing their wishes on children (e.g., violin lessons) unless the action is clearly against the child's interests. Where characters pursue their own needs without heed of the other on Card 4, score Level 2 or 3. Where burglary scenes are depicted on Card 5 with no mention of any other issues or relationships, score Level 2. Score for sense of people as important only to be used.

(3) Score if subject focuses on a single character and leaves characters out of his/her story who are depicted in the card. Score if no other characters are even alluded to on cards depicting a single character, if focus is entirely on the momentary actions of the character (e.g., "this is a man who is thinking about climbing a rope, and he does"), and if there are no indications of higher-level functioning, such as capacity for delayed gratification, persistence, or any sense of impulse control or internalized values, which suggest precursors or prerequisites for greater object-relatedness. If any of these are present, score at least Level 2.

(4) Score for people depicted as mirrors, tools for gratification, or transitional objects (i.e., used for self-soothing). Score where all action is directed toward helping one character. Score where people seem to exist for the person or are valued as objects to be there for the person or to tell things to, but not in a mutually interactive way (e.g., "he climbed a rope and went home to tell his mother"). Score if a character is brought into the story only as someone to whom the main character can run for safety. Others may be valued only for protection from loneliness; e.g., "she's pretty annoyed, and worried that she should leave, which would be problematic because she doesn't want to live alone." Focus may be entirely on the gratification or succorance of one character; e.g., "I think he feels sick and wants his mom. He's gonna have some medicine and feel better." Do not score if the subject elaborates the helper's perspective, if the helper seems to be a character in his/her own right who exists for reasons other than helping the protagonist, or if the helper seems motivated by the desire to fulfill a social role or obligation; score Level 2 or 3. Where ambiguous, score Level 2.

(5) Score for profoundly self-preoccupied characters, or for primary focus on characters' bodily sensations; e.g., "maybe he's gonna draw a picture of himself"; or "he's thinking and feeling his muscles." Score for characters preoccupied with their own images or reflections.

(6) Score if subject responds egocentrically, putting himself or someone he knows into the story, putting in gratuitous self-serving themes (e.g., a child responding, "they're thinking of giving some toys to their kids"), or is unable to keep the stories separate from himself and significant others in his own life. Do not score for storybook, or movies characters (e.g., Cary Grant, Ebenezer Scrooge or for simple mention or similarity

between a story and one's life (e.g., "that reminds me of what happened to my sister"), except where the story becomes about the real-life person or event (e.g., "and what's gonna happen in this card is that my sister is going to leave her husband").

(7) Score for need-gratifying conception of relationships, where friends who are momentarily not gratifying are easily dismissed (e.g., because of a single conflict or argument). Do not score if character is described as experiencing a sense of loss when a friendship ends; score Level 2 or 3.

(8) Score for loners or for sense of schizoid unrelatedness of characters to each other. Score for two characters in the same card without any sense of psychological relatedness, where neither is involved with the other. Score for insane people when there are no other autonomous characters. Score for sense of people as unreal or dehumanized; e.g., "this is a madwoman talking to a mannequin." Score where a character is grossly devalued.

(9) Score when the primary theme of the story is need-gratification, even without apparent harm to someone, when there is minimal sense of relationship between people.

(10) Score for lack of response to a major interpersonal event, such as a death.

Level 2

Principle: at Level 2 the person has a clear sense of potential conflicts between the needs or desires of self and others, though the primary aim remains the satisfaction of one's own wishes. There is a rudimentary sense of right and wrong, characterized by an equation of prudence and morality (i.e., bad actions are bad because they lead to punishment), and the person experiences some remorse following impulsive action. Moral injunctions that exist may be severe and poorly modulated. Although the person may clearly have attachments, investment in other people (i.e., concern for, and pursuit of the good of significant others) remains clearly secondary to self-interest. Friends are valued but in many respects remain interchangeable; the basis for friendship tends to be shared activity.

(1) Score for trickery or self-serving actions with some recognition of the impact on others.

(2) Score for conflict between characters who clearly know what the other wants but do not heed their wishes; score when it is ambiguous whether they are heeding at all. Score for two people arguing, with no mediation, no resolution, or total conflict. Score for persistence of an interpersonal problem with no resolution.

(3) Score for characters who avoid disobedience only to escape punishment. Score for themes of punishment (e.g., going to jail) or for characters getting apprehended, without mention of guilt or remorse. Score for parents punishing children for impulsive acts where the parents seem to exist only as punishers; if they are characters in their own right, score Level 3, particularly if the subject explicitly views them as teaching a moral lesson in a nonabusive way. If parents are abusive in their punishment, score Level 2, unless subject clearly indicates an unambivalent belief that abuse of this sort is wrong and should not occur; in that case, score Level 3. If subject raises the issue of guilt, score Level 3, even if portrays character as beyond remorse.

(4) Score for hints of grandiosity; e.g., "he was not good enough for her," where there is little evidence in the story of why that would be the case (e.g., the man is not mistreating the woman). Do not score for grandiose outcomes on Card 1 such as, "he will grow up and be one of the greatest violin players ever." unless elaborated significantly. Where grandiosity is allied with self-servingness or a need-gratifying orientation to relationships, score Level 1.

(5) Score for impulsive aggression with some remorse. If this occurs in the context of a committed relationship, score Level 3. Score for characters who experience a morally ambiguous aversive affect other than guilt (such as "worry") when performing immoral actions. If the affect stems entirely from hedonistic concerns rather than remorse (e.g., worry about getting caught), and the subject does not condemn the act or suggest punishment as a likely outcome, score Level 1; if the affect is clearly guilt, score Level 3. In order to score Level 3 for guilt for immoral actions, the coders must be absolutely certain that the affect is guilt; comments such as "he felt bad" are not specific enough to bring the score to Level 3 unless the coder is confident from the context that guilt is the intended affect.

(6) Score for interchangeable friends, where there is some sense of attachment or sadness at friendship ending. Score for loss themes where there is a lack of depth to the attachment (e.g., character mourns the loss of another

person with an unspecified relation, such as "he's upset because this lady has died"). Where friendships are represented, score Level 2 if basis of relationship could be proximity or simple participation in mutual activity, unless there are indications of higher-level relatedness or moral development. Score for engagement in conversation unless there are indications of higher-level relatedness. Score for superficial relationships indicative of the subject's knowledge of, but not particular investment in relationships. Score for friendships which seem primarily to reflect mutual self-interest.

(7) Score for responses that seem overwhelmingly to be categorized as Level 1 but have some hint of real moral concern or conventionality. Score for responses which lack the profound self-preoccupation of Level 1 but do not demonstrate the social conventionality or sense of interpersonal connectedness of Level 3. Score where all action is directed toward helping one character, where it is unclear to what extent the helper is a character with his/her own identity. Score for hint of characters wishing to please others, where this is ambiguous or their motives seem primarily self-serving.

(8) Score for sense of impulse control, frustration tolerance, or perseverance, where not in the service of moral or clearly interpersonal ends (e.g., a boy perseveres at the violin even though he would like to go out and play). Perseverance must be explicit, not inferred.

(9) Score for arbitrary authority, where the authority appears to have power but is not viewed as fair or is not invested with legitimacy. Score for false accusations, suggestive of a tendency toward externalization to avoid punishment. Where the person is saved by a wise or benevolent elder, score Level 3; where the arbitrariness of power is described in a broader social context with a clear sense of moral issues and relatedness between characters, score Level 4 or 5. Score for disobedience or parental authority or the authority or concrete individuals where the crime is victimless and the person is not disobeying on principled grounds (e.g., a boy disobeys his parents and plays baseball instead of the violin), when no other scoring rule seems appropriate. Score where defiance of authority seems to stem primarily from a simple desire to assert autonomy.

(10) Score for profound masochism, or for characters acquiescing in severe or chronic abuse. If subject

explicitly and unambivalently states that people do not deserve to be treated this way, score Level 3.

Level 3

Principle: at Level 3 the person considers the needs and wishes of significant others in making decisions. Pleasing other people, being liked, and behaving in accord with the standards of respected authorities are salient aims which often override self-interest. The person is concerned with being good and experiences guilt when his or her thoughts, feelings, or actions conflict with internalized standards. Rules are respected because they are rules; manners and conventions are seen as important and even natural. Moral rules may be relatively rigid and concrete, and there may be a pronounced sense of duty, particularly to certain people. Relationships are valued but may not be very deep.

(1) Score for characters who obey moral standards because these are valued rules or edicts of respected authorities, not just to avoid unpleasant consequences. Characters express concern for others and dislike of bad actions because they are wrong. Score for a rigid, moralistic sense of rules or duty. Score for concern for conventions, social norms, manners, and being nice. Characters may be described as chivalrous, protecting someone else's honor, or fulfilling social obligations (e.g., going to war). Characters may perform prosocial or expected behaviors or fulfill role expectations. Score for unquestioned acceptance of gender role stereotypes.

(2) Score for relatively unelaborated, stereotypic displays of concern or good feeling, such as enjoyment of others' company or "mutual love." Score for characters who are clearly attached, but where there is minimal sense of history to their relationship, or love for one another as particular people, or where the description is so stereotypic that little inference can be drawn about the subject's capacity to invest emotionally (as opposed to his/her knowledge that some people like or love each other).

(3) Score for profound sense of duty to help specific others or to carry out specific internalized rules. Where duty is expressed in explicitly abstract form (i.e., duty to abstract ideals which leads to action, rather than duty to particular rules or relationships), score Level 4.

(4) Score for experience of guilt for immoral or harmful actions. If guilt is extremely global and unmodulated or evokes extreme retribution, score Level 2.

(5) Score for people appropriately carrying out relatively selfless duties, such as caretaking responsibilities. Score for a helping orientation. Score for people doing things to make others happy unless there is a real sense of commitment or compassion, in which case score Level 4. Score for superficial altruism or consolation of someone who is suffering or grieving. Score for performance of social roles or obligations (e.g., taking an injured person to a hospital). Score for generosity or magnanimity (e.g., willingness to make up after an argument). Where the person doing the helping has an unspecified identity or relationship to the person being helped, score Level 1 or 2 (e.g., "someone comes and helps her").

(6) Score for omnipotent authorities or wise older figures. Characters may happily obey authorities with little or no protest. Score for internalization of parental wishes or values. Where there is a real sense of compassion or empathy for the parents' perspective beyond simple identification, score Level 4.

(7) Score for unconventionality or rejection of social roles where there is minimal sense of relatedness to others. Where unconventionality is principled and occurs in the context of relatedness to others, score Level 4 or 5. If rejection of authority or social roles seems to be motivated primarily by a need-gratifying orientation or by rage, score Level 1; if defiance or disregard of authority seems to stem from a simple desire to assert autonomy, score Level 2.

Level 4

Principle: at Level 4 the person is capable of forming deep, committed relationships in which the other is valued for his/her unique qualities. Commitment to others often overrides personal desires, but actions on behalf of another are undertaken without a rigid sense of duty or a predominant desire to be liked for one's good deeds. Moral judgments, values, and modes of conflict-resolution remain relatively conventional. The person is concerned with doing the right thing, as defined by society or respected authorities, which is frequently expressed in more abstract terms and is often self-abnegatory. Relationships are seen as lasting over time and involving considerable commitment and intimacy.

(1) Score for long-term, committed relationships which are relatively elaborated affectively. Do not score for stereotypic portrayal of long-term, committed relationships (e.g., "these are two old people who have

lived together for many years and love each other very much"); score Level 3. Score for depth of attachments.

(2) Score for mature empathy. Do not score for simple compassion for a person's obvious pain (e.g., sadness for a person experiencing a loss); score Level 2 or 3.

(3) Score for clear, nonstereotypic enjoyment of another's qualities.

(4) Score for commitment to relatively abstract ideals or postconventional values, where there is at least some suggestion of investment in real people rather than in empty ideals.

(5) Score for conflicts between people where at least one of the antagonists clearly expresses concern for the other despite their current animosity.

(6) Score for obedience or compliance stemming from concern for others, not primarily from unilateral respect for authority.

Level 5

Principle: at Level 5 the person treats self and others as ends rather than means. The person is interested in the development and happiness of both self and others, and attempts to achieve autonomous selfhood within the context of real involvement with, and investment in others. Conflicts between people with conflicting legitimate interests are understood as requiring compromise. Authorities and rules are not taken to be absolute; the person has a sense of the conventional nature of social rules and believes that at times these must be overridden or changed because they conflict with self-generated or carefully considered standards, or when they do significant harm to people in concrete circumstances.

(1) Score for creative compromise or mediation of conflict suggestive of a recognition of the legitimacy of competing interests and/or the inadequacy of rigid application of conventional solutions. Do not score for children growing to like what their parents want for them; score Level 3 or 4.

(2) Score for sense of conflict between social norms and characters' own considered standards, or recognition of relativity of social norms and values, with some sense of investment in empathy for real people rather than

abstract values or groups. Characters may be seen as standing up for their principles (especially those that involve the welfare of others) despite adversity, social disapproval, unpopularity, or contrary laws. Do not score if clear indications of Level 1 patterns of investment with need-gratifying standard opposed to social standards; in that case, score Level 1. Score Level 2 if opposition to authority seems largely to reflect the need to assert autonomy. If unclear whether a seemingly "postconventional" standard is motivated by a mature sense of relativity of tradition or a self-serving disregard of community standards, score Level 3. If subject describes a clearly "postconventional" moral stance, but the sense of commitment to relationships is unclear, score Level 3 or 4, depending on degree of certainty.

(3) Score for elaborated depiction of pursuit of self-definition, self-development, or mastery within the context of description of mature, committed relationships.

Understanding of Social Causality[2]

Principle: scale measures the extent to which attributions of the causes of people's actions, thoughts, and feelings are logical, accurate, complex, and psychologically-minded.

Level 1: noncausal; grossly illogical; causally disconnected major sequences.

Level 2: environmental and behavioral causes; minor logic errors; simple intentions.

Level 3: simple psychologically mediated causes; complex behavioral causality.

Level 4: unidirectional internal causes; cognitive mediation of action.

Level 5: actions and interactions result from complex psychological processes; characters respond to, and seek to influence, inferred mental states of other characters; unconscious motivational

General scoring rules: (1) If the subject provides multiple responses, score the highest level response unless one or more of the responses has logic errors, in

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[2]In constructing this scale we made considerable use of measures devised for coding children's stories by Brogen (1982).

which case score 1 or 2 (depending on the severity of the error). (2) Score material obtained through up to three inquiries by the tester. (3) Faulty logic "spoils" an otherwise high-level response, bringing the score automatically to Level 1 or 2. (4) In scoring stories with this scale, the coder should first ask, "Is the action in this story logical?" If so, s/he should then ask, "What is causal?" Finally, if there are implicit or explicit causal statements, the coder should then ask, "Is it internal (i.e., psychologically-minded)? And is it complex?" (5) If, upon inquiry, the subject gives a response two levels above the previous response, score the intermediate level.

Level 1

Principle: at Level 1 the person does not understand the concept of causality in the social realm. There is either no sense of necessity to understand why behaviors, feelings, or situations emerge, or explanations that are advanced are grossly illogical.

(1) Score for noncausal or grossly illogical stories, or for large unexplained transitions or transformations (e.g., "this boy wanted to play the violin, and he went to the store and bought some candy, and he didn't play the violin"). Score for use of magic to explain actions or results, except where it is clearly playful, or in jest. Score where the only causality is physical, not social; e.g., a man slides down a rope and burns his hands, or a boy stays up late at night and gets tired.

(2) Score for unexplained affects, which simply seem to come and go, or for absence of any indication of how characters came to conclusions in order to act. Score for isolated affects leading up to a situation, where the action would only make sense if the subject first explained the affect; e.g., "what led up to it was grief." Do not score where the cause of the affect can be readily inferred.

(3) Score if subject explains actions or motives on the basis of peculiar reading of signs, such as interpreting a picture on the wall as an indication of a character's mental state: do not score if the rest of the response is rich, playful, and elaborated, suggesting creative use of symbolism.

(4) Score for bizarre scenes, where the scene or the character's placement in it is not explained; e.g., "I think this is a madwoman talking to a mannequin, in an old Southern mansion."

(5) Score where motives are attributed inappropriately, peculiarly, or in a very unlikely way (e.g., a mother hating her child because it is not physically attractive, unless the mother is described in such a way that this makes sense, e.g., as very narcissistic). Score where motives are ascribed animistically to various forces (e.g., "the world was trying to teach her a lesson for what she did").

Level 2

Principle: at Level 2 the person has a rudimentary understanding of social causality. Actions are explained as responses to environmental stimuli or as resulting from simple feelings or intentions. Explanations of behaviors, feelings, or interactions frequently have mild logic errors or inconsistencies.

(1) Score for actions or feelings viewed as caused by environmental stimuli. Characters behave in response to impersonal forces or behaviors of other characters, without significant mediation by their psychological states or processes; e.g., "he fell down and hurt his hand and went home to tell his mother and she put a Band-Aid on it." Impersonal events may evoke simple affects, which in turn influence action (e.g., a boy walks into a scary house, so he runs away; or a death causes a person to be despondent and to go into a cemetery to place flowers on the grave). If behavioral interaction between characters is very complex (for example, a complicated but logical chain of events leading one to the next), score Level 3.

(2) Score for minor logic errors or minor unexplained events or transitions in a set of otherwise clear causal relationships. Score for incongruity between thoughts, feelings, and actions. Affect does not fit action (e.g., a child hanging his head after misdeeds feels "tired"), a feeling is incongruent with what the character is thinking, or thoughts and emotions are momentary and unintegrated with the plot or enduring characteristics. To score for minor logic errors, the coder must be confident that an error in logic occurred; do not score if ambiguous. To score for minor unexplained transitions, score if an explanation could possibly be inferred, but many other explanations could equally be entertained.

(3) Score for sense of causality where only minimally elaborated or implied but readily inferred.

(4) Score for thoughts producing action, but without causal mechanisms explaining the thoughts; e.g., "they're thinking very hard. The man is going to have an idea to

go on a surprise trip." Score for people planning and intending but not carrying out their intentions, unless there is an explanation of inaction, in which case treat inaction as an action.

(5) Score for action seen as stemming from simple intentions; e.g., "he wanted to play the violin, so he went out and bought one"; "she wanted to know what had happened, so she asked"; "he liked to climb ropes so he could see things across the river." Score for people responding appropriately to simple emotions; e.g., "he got scared, so he ran."

(6) Score for people seen as having complex motives or traits when it is unclear whether these dispositions have a causal impact on depicted action; e.g., "this is a man visiting a graveyard weeping for a friend. And he's a strange, soft-spoken, but gentle man, who cares deeply about people."

(7) Score for near-magic abilities of seemingly omnipotent authorities to achieve desired states.

Level 3

Principle: at Level 3 the person can logically and accurately explain social phenomena. Although the person recognizes that psychological processes may influence action, causality is seen as largely external to the person.

(1) Score for minor elaboration of psychological causes in an account that is primarily focused on environmental or behavioral causes. Elaboration of psychological causes must be beyond description of the causal impact of relatively simple feeling-states or intentions.

(2) Score for complex mental states that are evoked but do not lead to any behavior, unless there is a complex understanding of what led up to the mental state psychologically, in which case score Level 4 or 5.

(3) Score for behavioral causality where multiple causes produce a single response.

(4) Score where the subject makes a generalized statement that indicates a relatively sophisticated understanding of causal processes even where this is not reflected in the story; e.g., "they became friendly because they went through an awful situation together--you

know how experiences like that can cement a friendship." If complex and nonstereotypical, score Level 4.

(5) Score for unidirectional behavioral causes where the subject points to the influence of the broader social system on thought, behavior, or consequences for actors (e.g., "this is a good example of the way working-class people are forced to act").

(6) Score for complex chains of behavioral causes, where a series of events logically unfolds; with effects of an action rippling through a system and in multiple directions. Do not score unless very complex.

Level 4

Principle: at Level 4 the person has a basic understanding of the role of psychological events in motivating action. There is considerable recognition of the importance of people's thoughts and perceptions in mediating between stimulus and response, though understanding of psychological causality is incomplete or applied only irregularly.

(1) Score where one character's actions stem from elaborated psychological causes. For example, "he is getting out of the relationship because he is feeling stifled and wants autonomy." A single character's actions may stem from psychic conflict. Actions are not perceived as simply reactive to behavior without much thought or feeling. Do not score for emotions elicited by environmental or behavioral causes which do not in turn eventuate in action; mental states must themselves be causal, not just caused, unless the subject describes the psychological processes leading to these states (e.g., "he was feeling very anxious, probably because it reminded him of the way his mother treated him"). Score Level 3, 4, or 5 for complex mental states, depending on the complexity of the attribution of the cause of the state, where Level 3 represents minimal causality, and Level 5 reflects complex causality (as in the example above about the character feeling anxious because of the association to his mother). Do not score for simple intentions. If unclear whether the psychological cause is elaborate or is a simple intention, score Level 3. If only one character is depicted in the card, score complex internal causes Level 5.

(2) Score for recognition that behaviors are influenced by people's construal of the situation. Characters' actions result in part from their perspective on, or understanding of the situation, where the subject

indicates a recognition that this is likely to differ from the perspective of others in the same situation. Do not score if people's perspectives are simple and stereotypical.

(3) Score for characters who respond to the perceived wishes of others. If any character has complex understanding or others' wishes, score Level 5.

(4) Score for complex, nonstereotypical, generalized causal statements (e.g., "their relationships really changed after that--you know how when someone feel wronged, he becomes suspicious and starts to see things even when they're not there").

(5) Score where more than one character's actions have internal causes but none of the causes is complex.

Level 5

Principle: at Level 5 the person understands feelings and behaviors as caused by psychological processes, which may or may not be elicited by environmental stimuli. Complex thoughts, feelings, and conflicts are seen as mediating action. The person makes complex inferences about the psychological processes of others and attempts to influence others' perceptions.

(1) Score where multiple actors in an interaction act on the basis of elaborated perceptions, thoughts, wishes, or conflicts. To score Level 5, at least one person must have complex internal motivation, and at least one other person must have internal motivation (even if not complex). If only one character is depicted in the card, score if that character acts on the basis of complex internal processes; if the motives are internal but not complex, score Level 3 or 4, depending on degree of complexity.

(2) Score if one or more characters respond to their perception of other people's thoughts or perceptions. Do not score for actions based on perception of others' wishes, except where these are complexly elaborated; score perception of wishes Level 4. Do not score Level 5 if thoughts, perceptions, or expectations of others that influence action are shared by the actor or have been internalized as ideals; e.g., score Level 4 for, "he is feeling that his father has always set standards for his life." Score for one or more characters trying to influence other characters' thought.

(3) Score for actions based on introspection or character's examination of her/his own mental processes.

(4) Score for unconscious motivational processes.

(5) Score for complex unidirectional internal causality where the subject also elaborates a generalized causal statement (e.g., referring to a "growth experience" that typically accompanies such interactions as occurred in the story).

# APPENDIX F

# A DEVELOPMENTAL ANALYSIS OF THE CONCEPT OF THE OBJECT ON THE RORSCHACH

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The importance of the human response on the Rorschach has been noted often in a variety of contexts, but generally with a minimum of theoretical elaboration. Aspects of these responses may have particular relevance for the study of the development of the concept of the object and its impairment in psychopathology. This scoring system is an attempt to apply developmental principles of differentiation, articulation, and integration (Werner, 1948; Werner & Kaplan, 1963) to the study of human responses given to the Rorschach.

Differentiation is defined as the nature of the response with human content; Articulation is defined as the degree to which the response was elaborated, and Integration is defined as the way the concept of the object is integrated into a context of action and interaction with other objects. Within each of these areas, categories were established along a continuum based on developmental levels. Within each category, ratings ranged from developmentally lower to developmentally higher levels.

## CATEGORIES OF ANALYSIS AND SCORING PROCEDURES

I. SELECTION OF RESPONSES

A. Human and quasi-human responses

All human and quasi-human responses are scored. Human and quasi-human details are scored if they 1) involve human activity, (e.g., talking, pointing, struggling) or 2) involve a substantial portion of the card and are not just a small rare or edge detail and 3) contain some description of explicit human or humanoid characteristics. Thus, independent of their location, the following responses would be scored:

"the face . . . of an old man with wisps of hair on the side"
"a man with sunglasses on"
"a girl's head"
"a baby's face"
"baby's hands with mittens on"
"face with a large hooked nose"
"faces of 2 angels"

B. Animal responses

In some rare instances animal responses are classified as quasi-human if the animal is explicitly given qualities that only a human could have. The exceptional quality of this classification must be emphasized. It is not meant to include all responses scored Animal Movement FM. Though the following responses

might be scored FM, they would not be included as human or quasi-human response:

1. Human-like actions which could be achieved as the result of special training and which might, therefore, be expected in the context of a circus act.
2. Activities which humans perform, but which can also be performed by animals (e.g., rubbing noses). The human content must be explicit. If, for example, "Bugs Bunny" is given as a response, it is scored only if Bugs Bunny is engaged in a clearly human action. Thus, Bugs Bunny crying or talking would be scored as a quasi-human [(H)] response. Applying these criteria, the following animal responses would be scored as quasi-human:

"a hookah smoking caterpillar . . . from Alice in Wonderland."
"two drunken penguins leaning on a lamp post . . . they're definitely sloshed."
"two lobsters coming out of a saloon . . . and they kind of have their arms around one another."
"sea gull . . . laughing, making fun of somebody."
"two frogs . . . tete-a-tete . . . two angry frogs, their mouths are downcast."
"spiders (at an insect ball) eating spareribs."

II. SCORING PROCEDURES

A. Accuracy of the response.
Responses are classified as perceptually accurate or inaccurate (F+, F±, F-+, F-). F+ or F± responses are classified as accurate and F- responses and F-+ responses are classified as inaccurate (Rapaport, Gill & Schafer, 1945; Allison, Blatt & Zimet, 1968).

B. Differentiation.
Here responses are classified according to types of figures perceived; whether the figure or subject of the action are quasi-human details (Hd), human details Hd; full quasi-human figures (H); and full human figures, H.

1. Human responses. To be classified as a human response, the figure must be whole and clearly human. Examples:
"people"
"men"

"baby"
"African natives"

2. Quasi-human responses. Here the figures are whole but less than human or not definitely specified as human. Examples:
"witches"
"dwarfs"
"Two opposing forces, sticking our arms and hands. Opposing forces, pitted against each other...looking at each other. With complicated . . . of talons, appendages, arms raised in combat . . . Person maybe . . . standing there, being very offensive and attacking ."

3. Human details. Here only part of a human figure is specified. Examples:
"hands strangling"
"faces staring at each other"

4. Quasi-human details. Here only part of a quasi-human is specified. Examples:
"angel's face"
"witch's head"
"devil's face"

C. Articulation.
Here responses are scored on the basis of types of attributes ascribed to the figures. A total of seven types of attributes are considered. These types of attributes were selected because they seem to provide information about human or quasi-human figures. The analyses are not concerned with the sheer detailing of features or with inappropriate articulation. The analyses are only concerned with articulations that enrich a human or quasi-human response, that enlarge a listener's knowledge about qualities which are appropriate to the figures represented. For example, a response which states that a man has a head, hands, and feet does not enlarge the listeners' knowledge about the man. Possession of these features is presupposed by the initial response, "man". An articulation such as "a man with wings" is not scored as an articulation because it is an elaboration which does not add to the specifications of the human or quasi-human features of the figure.[3]

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[3]Inappropriate articulations were not scored in the initial research with manual (Blatt, Brenneis, Schimek & Glick, 1976). In subsequent research it may prove useful

There are two general types of articulation: the articulation of 1) perceptual and 2) functional attributes.

1. Perceptual characteristics

   a. Size or physical structure. For this aspect to be scored as articulated, descriptions of the figure must have adjective status. Thus, no credit is given in a response where an examinee only says that a man has feet or that a hand has fingers. Size or structure is only scored as articulated if there is a qualitative description of aspects of body parts or the whole body. Descriptions of bodies or body parts as "funny" or "strange" are not scored as indicating articulation of body structure.

      Certain aspects of facial expression can be scored as articulations of size or structure. Included in this category are responses like "eyes closed" or "mouth open" in which the description of facial expression amounts to something more than just a description of physical appearance.

      Applying these criteria, the following responses would be scored as articulations of size or physical structure:

      "slim men"
      "big feet"
      "the top of the body is sort of heavy and her legs are real, real teeny"
      "slanted eyes"
      "chins protruding town from the face"
      "eyes closed"
      "mouths open"
      "tongue was sticking out"

      By contrast, the following responses are not scored as articulations of size or structure:

      "women with breasts"
      "they're shaped like people"
      "eyes, nose, mouth"
      "woman doesn't have a head"

---

to score both appropriate and inappropriate elaborations.

"a pervert with bunny ears"
"person with wings instead of arms"

b. Clothing or hairstyle. For this aspect to be scored as articulated, there has to be a qualitative description of some aspect of either clothing or hairstyle. It must enrich the description of the figure. Simple mention of items of clothing implied by the response does not enrich one's understanding of the figure and is, therefore, not scored as an articulation. Using these criteria, the following responses are score-able as articulations of clothing or hairstyle.

"some kind of moustache . . . right above its mouth"
"girls with ponytails"
"hair and the things sticking out of them, feathers"
"their pants would have to be skintight and when they lean down, their jackets go pointing out, makes it look like a very tight jacket"
"a couple of witches with red hats"
"wearing a black coat and a homburg hat. Black coat is sort of billowing behind him . . ."
". . . a full-tailed coat"
"two little girls, all dressed up in their mother's things"
"Gay 90's type women . . . both wearing a long bustle and feathers in hair"
"an American Indian in some ceremonial costume with wings and paraphernalia"
"a man . . . with sunglasses on"

By contrast, the following responses would not be scored as articulations of clothing or hairstyle:

"two women with skirts on"
"shoes on"

c. Posture. Posture is scored if the response contains: a) a description of body posture which is separate from the verb describing the activity of the figure, or b) a description of

facial expression that goes beyond mere articulation of the physical appearance of features in that it contains a sense of movement or feeling. Posture is not scored if body posture is implied in the verb rather than being separately articulated or if it is simply a description of a figure's position in space (e.g., facing outward).

Thus, the following responses are scored as articulations of posture:

"arms flung wide"
"head tilted"
"standing with legs spread apart"
"leaning on a lamp post"
"shoulders hunched"
"somebody hanging . . . dangling down, drooped, formless, shapeless"
"eyes look piercing"
"gritting teeth"
"smiling"

The following responses are not considered articulations of posture:

"sitting"
"standing"
"doing a high dive"
"back to back"
"facing outward"
"mouth closed"

2. Functional characteristics.

a. Sex. For sex to be scored there either has to be a specific mention of sex of the figure or an assignment to an occupational category which clearly implies a particular sexual identity. If the final sexual identity is not decided but alternatives are precisely considered, sex is scored as articulated. If, however, the indecision is based upon a vague characterization of the figures with an emphasis upon the sexual nature of the figure as a whole, sex is not considered articulated. In the following responses, sex is scored as articulated:

"man"
"girl"
"witch"
"mother"

"priest"
"either an old man or an ugly woman"
"2 boys putting on a disguise kit or a girl with her makeup kit"

By contrast, sex is <u>not</u> scored as articulated in these responses:

"Well, these look like two human figures. I think when you look at the breasts there, they're girls. Then down here could look like phalluses. I don't know. It's rather ambiguous, confusing . . . protrusions from the thorax, you know."

"Looks like two people. Could be a woman or a man. I debated this for a minute. (mean?) Well, this form could be women or the costuming of man. (?) Well, I guess it would be tights and sort of loose shirt. I don't know exactly."

"Two people beating drums in a way like both might be women. In another way, like men. Doesn't seem to be any real indication whether they are male or female. The rather extended chests seem to represent breast of women and protuberance on bottom seems to be leg. In these respects it has a bisexual appearance. There is something barbaric about the figures. Seems to be something of a representation of gods or something like that. They seem to be wearing high heel shoes. Both of the figures seem to be very awkward and look as though they're doing some clumsy movements in beating the drums. The heads don't look human--look as though they're some kind of bird's heads."

b. <u>Age</u>. For this aspect to be scored, specific reference some age category to which the figure belongs. Thus, age is assumed to be delineated in the following responses:

"child"
"baby"

"old woman"
"young girl"
"little boys"
"teenagers"

By contrast, although some indication of age is implied in the following responses, the references are not specific. Thus, age is <u>not</u> scored in these responses:

"man"
"girls"
"boys"
"priest"

c. <u>Role</u>. When figures are human, a clear reference to the work a figure does (occupation) is scored as an articulation of role. With regard to quasi-human figures, role is scored if the manner in which the figure is represented implies that it would engage in certain activities rather than others. Thus, role is assumed to be articulated in the following responses:

"soldier"
"priest[4]"
"Spanish dancer"
"ballet dancer"
"Princess"
"mother"
"witch"
"devil"
"elves"

Role is <u>not</u> scored in the following responses because there is no clear indication that they refer to occupation rather than a momentary activity.

"dancer"
"singers"

---

[4]When sexual identity is clearly indicated in a role designation, both sex and role are scored as articulated. Such a situation in the following responses: "mother", "witch", "priest".

d. Specific identity. Here a figure must be named as a specific character in history, literature, etc.[5] Examples:
"Charles DeGaulle"
"Theodore Roosevelt"

3. Degree of articulation.
This is the simple enumeration of the total number of types of features articulated. In the preceding section, seven types of attribution were described (size, clothing or hairstyle, posture, sex, age, role and specific identity). Thus, for any single Rorschach response, a total of seven types of features could be articulated. The average number of features taken into account in each human or quasi-human response constitutes the score for the degree of articulation of individual figures. If, for example, a subject gave four human responses and attributed a total of ten types of attributes to them, his score for degree of articulation is 2.5.

D. Integration
Integration of the response was scored in three ways: a) the degree of internality of the motivation of the action (unmotivated, reactive, and intentional), b) the degree of integration of the object and its action (fused, incongruent, nonspecific, and congruent), and c) the integration of the interaction with another object (malevolent-benevolent and active-passive, active-reactive, and active-active). These analyses can only be applied to figures engaged in human activity.

1. Motivation of action.
The articulation of action in terms of motive implies a developmentally advanced perception of action as differentiated from but related to the subject. Moreover, motive can be ascribed in two ways: as reactive or as intention. Reactive

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[5]To the degree that age, sex, and occupation are clearly indicated in the specific identity, these features are also scored as articulated. Thus, in the response, "Charles DeGaulle" sex and occupation are specified. Such is not the case in the response, "piglet".

explanations involve a focus on past events and behavior as explained in terms of causal factors; one assumes that, for certain prior reasons, an individual had to do a certain thing. By contrast, intentionality is proactive and implies an orientation toward the present or future. The individual chooses to do something to attain a certain end or goal. The ability to choose between motives and to purposely undertake an activity implies a greater differentiation between subject and action than is the case when an individual is impelled to take an action because of past occurrences. For this reason, the analysis of action will consider whether or not a motive was provided and whether the motivation was reactive (causal) or intentional.

a. Unmotivated activity.
Here action is described with no explanation of why it occurs.
Examples:
"two people kissing each other"
"women looking at each other"
"men leaning against a hillside"

b. Reactive motivation.
Here perceived activity is described as having been caused by a prior situation (internal or external) and the subject is seen as having little choice in his reaction. Examples:
"a German soldier on guard duty. I think he sees something and points his gun at it"
"Arabs recoiling from an Israeli bomb"
"a person afraid of a snake, standing on a rocky cliff with arms upraised as if he's going to hit it with something"
"two women struggling over ownership of a garment"

c. Intentional motivation.
For motivation to be scored as intentional the action must be directed toward some future moment and the subject must be seen as, in some sense, choosing his action rather than having to react. Examples:

"Halloween witches, making incantations over the fire, in preparation for all hallows' eve"
"an orchestra conductor, his arms raised, about ready to begin"

2. Object-action integration.
In this analysis, four levels of integration of the object with its action are distinguished (fused, incongruent, nonspecific, and congruent).
   a. Fusion of object and action. For a response to be included within this category, the object must be amorphous and only the activity articulated. In such situations, object and action are fused. The object possesses no separate qualities of its own. It is defined only in terms of its activity. This type of response is exemplified below. In both instances, nothing is known about the object except what it is doing. Examples:
      "Two opposing forces, sticking out arms and hands. Opposing forces, pitted against each other . . . looking at each other. With complicated . . . of talons, appendages, arms raised in combat . . . person maybe . . . standing there, being very offensive and attacking."
      "Figure there with hands, standing with legs spread apart, reaching out with hands as if trying to grab something."
   b. Incongruent integration of object and action. For a response to be included within this category, there should be some separate articulation of object and action. Something must be known about the object apart from its activity. Nevertheless, the activity is incongruous, unrelated to the defined nature of the object. The articulation of action detracts from, rather than enriches, the articulation of the object. Examples:
      "a great big moth, dancing ballet"

"two figures, one half human and one half animal holding two sponges"
"a little baby throwing a bucket of water"
"a satyr-thing bowling"
"two sphinxes pulling a decapitated woman apart"
"two beetles playing a flute"

c. Nonspecific integration of object and action. Inclusion within this category also requires some separate articulation of object and action. However, the relationship between the two elements is nonspecific. The figures, as defined, can engage in the activity described but there is no special fit between object and action. Many other kinds of objects could engage in the activity described. Thus, while the articulation of action does not detract from the articulation of the object, neither does it enrich it. Examples:

"one big person standing with arms raised"
"a knight, standing ready to do his job"
"cavemen leaning against a hillside"
"two figures dancing"
"two older women trying to pull something away from each other"
"two men fighting"
"a man running away"
"a person, sort of a girl, standing on her toes"

d. Congruent integration of object and action. For a response to be assigned to this category, the nature of the object and the nature of the action must be articulated separately. In addition, the action must be particularly suited to the defined nature of the object. By way of contrast with the preceding category, the action must not only be something the object might to; it must be something that the object would be especially likely to do. There is an integrated and particularly well-suited relationship between the object and the specified action. Moreover, the

articulation of the action enriches the image of the object.[6]

3. Integration of interaction with another object.
   a. Nature of interaction.
      This analysis applies to all responses involving at least two human or quasi-human figures. In addition this analysis can also pertain to situations where a second figure is not directly perceived, but its presence is necessarily implied by the nature of the action.
      1. Active-passive interaction.
         Two figures can involve a representation of one figure acting upon another figure in an active-passive interaction. One figure is active and the other entirely passive so while acted upon, it does not respond in any way.
      2. Active-reactive interaction.
         In another type of interaction the figures may be unequal. One figure is definitely the agent of the activity, acting upon another figure. The second figure is reactive or responsive only to the action of the other. This is defined as an active-reactive interaction.
      3. Active-active interaction.
         In a third type of interaction, both figures contribute equally to the activity, and the interaction is mutual.
   b. Content of interaction.[7]

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[6]In situations where the role definition of the object amounts to nothing more than a literal restatement of the action, object and action are not considered integrated. Responses like "dancer's dancing", or "singer's singing" are scored as nonspecific (level 3) relationships. However, responses such as "ballerina dancing" or "character from a Rudolph Falls opera, singing" are classified as a congruent (level 4) relationship.

[7]Attached are examples for scoring both the nature and content of interactions. Notations in the left hand margin indicate scoring for the nature of the interaction. [Active-Passive (A-P), Active-Reactive (A-R), and Active-

1. Malevolent: The interaction is aggressive or destructive or the results of the activity implies destruction or harm or fear of harm.
2. Benevolent. The activity is not destructive, harmful or aggressive. It may be neutral or it may reflect a warm positive relationship between objects.

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Active (A-A)]. Notations in the right hand margin indicate the scoring for the content of the interaction [Malevolent (M) and Benevolent (B)].

## Integration of Interaction

| Nature of Interaction | | Content of Interaction |
|---|---|---|
| A-P | A couple of undertakers lowering babies into the pit | M |
| A-P | A prostitute rolling a drunk | M |
| A-P | Crucified man | M |
| A-P | A mother holding out her arm and telling her kid never to come back | M |
| A-P | Two sphinxes pulling a decapitated woman apart | M |
| A-P | Two people kneeling down with hands extended toward and touching other people | B |
| A-R | African natives beating a drum; Martians applaud | B |
| A-R | Eve being tempted by a snake (snake seen on card) | M |
| A-R | Two people with hands up as if trying to ward off the two people coming to get them. Two guys with black capes . . . coming in to get the other people . . . | M |
| A-R | German soldier--think he sees something and points gun at it | M |
| A-R | An orchestra conductor, arms raised, just about to begin | B |
| A-R | A man running away | M |
| A-R | A woman crying out for something . . . two forces pulling her apart, one is depression, one is suicide | M |
| A-R | A man trying to kill a little girl, whose running away | M |
| A-A | A woman with a child looking up at her | B |

| Nature of Integration | | Content of Interaction |
|---|---|---|
| A-A | Someone having intercourse, a man child and a woman child, trying to make love but not knowing how | B |
| A-A | One person there is pointing and the other is listening. | B |
| A-A | Two people and two martians fighting | M |
| A-A | Two women having a fight, calling each other names | M |
| A-A | Two gremlins ready to hit each other | M |
| A-A | People pledging hands together--like victors, walking along like that | B |

## Scoring Outline

### Categories of Analysis

I. Accuracy of response (F+ or F-)

II. Differentiation (types of figures perceived)
- (1) Human
- (2) Quasi-human
- (3) Human detail
- (4) Quasi-human detail

III. Articulation
- (a) Perceptual attributes
  - (1) Size or physical structure
  - (2) Clothing or hairstyle
  - (3) Posture
- (b) Functional attributes
  - (1) Sex
  - (2) Age
  - (3) Role
  - (4) Specific identity
- (c) Degree of articulation (# features articulated/ # responses)

IV. Integration
- (a) Motivation of action
  - (1) Unmotivated
  - (2) Reactive
  - (3) Intentional
- (b) The integration of object and action
  - (1) Fusion of object and action
  - (2) Incongruent action
  - (3) Non-specific action
  - (4) Congruent action
- (c) Integration of the interaction with another object
  - (1) Nature of interaction
    - (a) Active-passive
    - (b) Active-reactive
    - (c) Active-active
  - (2) Content of interaction
    - (a) Malevolent
    - (b) Benevolent

Reference

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# APPENDIX G

## Scoring Outline

| Categories of Analysis | Scores |
|---|---|
| I. Accuracy of response | (F+ or F-) |
| II. Differentiation | (1-4 points in subcategory) |
| (1) Human | (4) |
| (2) Quasi-human | (3) |
| (3) Human detail | (2) |
| (4) Quasi-human detail | (1) |
| III. Articulation | (0-11 points in subcategory) |
| (a) Perceptual attributes | |
| (1) Size or physical structure | (0-1) |
| (2) Clothing or hairstyle | (0-1) |
| (3) Posture | (0-1) |
| (b) Functional attributes | |
| (1) Sex | (0-2) |
| (2) Age | (0-2) |
| (3) Role | (0-2) |
| (4) Specific identity | (0-2) |
| IV. Integration | (0-12 points in subcategory) |
| No action | (0 points for all integration scores) |
| (a) Motivation of action | |
| (1) Unmotivated | (1) |
| (2) Reactive | (2) |
| (3) Intentional | (3) |
| (b) The integration of object and action | |
| (1) Fusion of object and action | (1) |
| (2) Incongruent action | (2) |
| (3) Non-specific action | (3) |
| (4) Congruent action | (4) |
| (c) Integration of the interaction with another object | |
| (1) Nature of interaction | |
| (a) Active-passive | (1) |
| (b) Active-reactive | (2) |
| (c) Active-active | (3) |
| (2) Content of interaction | |
| (a) Malevolent | (1) |
| (b) Benevolent/Benign | (2) |

# VITA

Joseph Anthony Kot was born in Los Angeles, California, on March 16, 1956. He attended elementary schools in El Monte and Walnut, California and graduated from Walnut High School in June, 1974. The following September he attended The University of Southern California for two years. He transferred to The University of California, Irvine and in May, 1979 received a Bachelor of Arts degree in Social Ecology. The following August Mr. Kot entered the Counseling Program at The California State University, Fullerton and received his Master's of Science in Counseling in May, 1981. After a one year field internship in counseling he entered the Clinical Psychology Program of The University of Tennessee, Knoxville, in September, 1982. In 1989 Mr. Kot served as the Clinical Psychology Intern at the Steelcase, Stow & Davis Counseling Service, Grand Rapids, Michigan. He was awarded his Doctor of Philosophy degree in May, 1992.

Dr. Kot will begin a private practice in clinical psychology in Macon, Georgia.