IV
Appendixes
APPENDIX 1: A REQUEST TO READERS

My hope in writing a book like this is that you, the reader, will become actively involved and apply many of the exercises to your own life. I would appreciate it greatly if you would share your experiences with me. Please feel free to write and let me know which parts of the book were particularly meaningful to you, and which weren’t. This feedback will help me in making future revisions of the book and will also allow a mutual sharing.

Thank you.

Your name: ______________________________________

Address: ______________________________________

_________________________________________________________________________

Exercises that were particularly helpful to me:

_________________________________________________________________________

_________________________________________________________________________

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Appendix 1: A Request to Readers

Exercises that were not particularly helpful to me:


Areas of the vision that were particularly meaningful to my life:


Areas of the vision that were not too meaningful to my life:


What I like most about the book:


What I like least about the book:


Please send to:
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APPENDIX 2: HARD-CORE ZEN

In preparation for writing this book, I reviewed the journals that I had kept while in the Orient. The following three anecdotes from these seem to capture an essence of Zen.

Finding a Bordello: The Beginning

We were being led by a Zen Master named Nishimura through the red-light district of Kyoto to find a bordello. He knocked on several doors; sometimes no one answered, sometimes he received a flat "No—nothing is available." Finally, he knocked on a door and an attractive older woman answered. They talked briefly, and an arrangement was made.

Yet things were not as they might at first seem.

Johanna and I had recently arrived in Kyoto, and were unable to find lodging. The Zen priest suggested we might find a temporary place to stay in the red-light district. The arrangement he made allowed us to spend the weeknights, but we had to leave on weekends because of the establishment's prior "business commitments."

So began our search for the spirit of Zen.

I'm A History Major: The Arrival

When we first arrived at Daitoku-ji monastery, we had an interview with the Master, Kahori Roshi. He inquired of my background, my college major, and what I intended to do once I returned to the States. I told him that I was officially a political science major, and that I had been accepted at Harvard Law School. However, I quickly explained that I had obtained nearly the equivalent of a religious studies major while in college, that I had chosen not to go to law school this year, and that I was on an intense "spiritual quest." I was eager to show him that I would be a good pupil, was committed to the path of the seeker, and should be allowed to study at the temple.

He nodded, rather noncommittally.

He then turned to my wife, Johanna, and said, "I suppose you too are on a spiritual quest, and were also a religious studies major."

"No," she said, "I was and still am a history major."

He laughed, bowed to her, and led us into the meditation room.

Rice Curry: The Answer

Near the end of our stay in Japan, we were talking to a young Zen monk-in-training about our plans to travel to India.

"I, too, plan to go to India soon," he added.

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Appendix 2: Hard-core Zen

I was quite excited to hear this. It seemed to me that here was a fellow seeker; I felt an instant sense of brotherhood with him. Many of the young monks I had met seemed to be merely putting in time, going to vocational school, by being in the monastery. Much of the spiritual searching and questing that I felt seemed absent in them.

I told him that I had the names of several great Indian teachers with whom I intended to study. I asked him if he would like their names.

“No, thank you,” he said.

“I don’t understand,” I replied, “Do you already have a teacher?”

“No.”

“Then why are you going to India?”

“To eat the excellent rice curry.”
APPENDIX 3: EAST-WEST TECHNIQUES—DIFFERENCES, SIMILARITIES, ADVANTAGES IN COMBINING

Differences in Eastern and Western Techniques

Types of Awareness
The awareness in self-observation strategies involves a precise labeling of certain events, a search for causality, antecedents and consequences, goal setting, and analysis and evaluation. In formal meditation, the type of awareness is present-centered, goalless, involves no search for causes, and is without evaluation and analysis. Although the beginning meditator may subvocalize such self-instructions as “Relax; keep focused on your breathing; your attention has wandered, better return to breathing again,” the goal of meditation is to remove these verbal cues eventually and have an “empty mind”—that is, an absence of covert statements and images. In informal meditation, the individual observes all actions and behaviors throughout the day. In a behaviorally oriented stress-reduction training package, the individual is instructed to discriminate (notice) certain specified “anxiety-arousing” situations, and then to use those situations as cues for engaging in relaxation, covert self-modeling, and self-instruction activities. In informal meditation, although all cues are observed, the individual is instructed to “merely observe, as a witness” and to take no specific action after recognizing any particular cue.

Use of Covert Statements and Images
Western self-management techniques employ covert events and images in many of their strategies. An attempt is made to change maladaptive ways of thinking to more productive ones. This is done by stopping the nonproductive thoughts and substituting positive images and statements. In meditation, an individual “lets go” of the nonproductive chatter, but makes no attempt to substitute positive statements and images. In the East, when an image (e.g., third eye, image of Guru) or covert statement (e.g., mantra, koan) is used for concentrative meditation, it is focused on exclusively for a long period of time as a means of reducing surrounding inputs and covert chatter. In the West when an image (e.g., covert self-modeling, positive reinforcing image) or covert statement (e.g., self-instructions; self-reinforcement) is used, it may have several different purposes. Its purpose depends on its position in the behavioral sequence (e.g., image as antecedent, as behavior, or as consequence). Internal images and statements may be used as reinforcement or punishment for a behavior, as a cue to initiate a behavior, or as practice or rehearsal (self-modeling) of a behavior.
Similarities in Eastern and Western Techniques

We have noted that certain types of mindfulness meditation involve discriminating and labeling all stimuli that come into awareness. This is nearly identical to the detached observation effected in the West by covert statements. The fourth step of meditation, which may involve a global desensitization to whatever is on our mind, may be similar to systematic desensitization in behavior therapy (i.e., relaxation precedes the presentation of the feared image). The only difference between the two is that the rearranged, structured hierarchy in the behavioral model is absent in the meditation model.

There is also a similarity between certain types of thought stopping in the West, and the effect of the kwat in the East. Both may be used to stop thoughts, and/or to interrupt a maladaptive behavioral sequence.

Finally, it should be clear that the location of the meditation room and the location of the tea ceremony may represent a type of environmental planning to reduce unwanted external stimuli.

The table at the end of this appendix illustrates, in detailed form, a comparison and contrast of meditation and behavioral self-management techniques.

Advantages in Combining the Techniques

The intervention in case two involved formal meditation and a combination of informal meditation, self-instructions, and focused breathing. Below is a theoretical discussion of the advantages that may be gained by this combination.1

Informal Meditation Plus
Behavioral Self-management Techniques: “Contingent Informal Meditation”

It appears that the technique of informal meditation may be made into a more powerful clinical intervention strategy by being combined with self-imagery, self-statements, and focused breathing. In this model, in addition to observing all events and behaviors occurring throughout the day (informal meditation), we also notice certain specified cues in the internal and external environment (e.g., tension, anger, anxiety, social events). Once we have noticed those cues, we then self-observe in a “detached” non-evaluative manner, as in informal meditation. However, we also focus on breathing and covertly initiate cues to relax, to feel in control, and imagine acting in a relaxed, competent fashion.

Formal Meditation Plus
Behavioral Self-control Techniques

Learning to meditate properly may be facilitated if we borrow from certain behavioral self-management techniques. For example, individuals have been
given a counting device (e.g., a golf counter) and instructed to punch the
counter every time their attention wandered from the task of breathing. The
punching of the wrist counter was then made a cue for returning attention to
the task of breathing. In essence, what was occurring was that a tool used in
behavioral self-observation (the counter) was taking the place of the k'uant
of the Zen monk. It is possible that biofeedback techniques might also serve to
facilitate the acquisition and proper performance of meditation.

Certain aspects of formal meditation may complement and facilitate
behavioral self-control skills. For example, as discussed in Chapter 1, during
formal meditation, the individual learns to unstress (desensitize) himself
(step four) and to reduce the frequency and duration of internal chatter and
images (step five). It is suggested that this ability to relax and have an "empty
mind" gained during formal meditation will help an individual be more alert
and responsive to stress situations occurring at other times, thus facilitating a
person's performance of behavioral self-observation of internal and external
cues throughout the day.

Second, formal meditation seems to give the individual practice in
noticing when his or her attention wanders from a task. At first, in step two of
meditation, there is usually a long time period that elapses between the
time the attention first wanders and the realization that it has wandered. With
practice, however, the person may learn to catch himself almost as soon as he
stops focusing on breathing. Similarly, in behavioral self-control strategies,
often several minutes or longer pass before the individual realizes that he is
supposed to have noticed a cue and subsequently interrupted a maladaptive
behavioral pattern. The chronic smoker illustrates this lack of awareness, as
does the heroin addict. The practice of noticing a certain cue (e.g., wandering
attention) developed in meditation may also be applicable to situations
involved in behavioral self-control strategies (e.g., reaching for a cigarette, the
"need" for a fix). Thus, the individual practicing meditation may be aided in
eventually recognizing a certain cue as soon as it occurs, and is thereby placed
in a much better position to interrupt a maladaptive behavior pattern.

The third way in which formal meditation might help behavioral self-
control strategies involves the cognitive set that meditation can help give to
the practitioner. Formal meditation allows the individual an opportunity for
fixed reference points in the day during which he/she feels relaxed, calm, and
in control. Therefore, when recognizing tension at subsequent points during
the day, the individual should be able to say to him/herself, "I was relaxed,
calm, and in control this morning," thereby attributing current stress to a
specific situation rather than to an "anxious personality trait." In this way
the person may learn to increase feelings of self-control and learn to perceive
him/herself as a responsible individual who has the ability to control his/her
own behavior and actions.

Fourth, although the physiological data are still equivocal aspects of
the technique of formal meditation may make it more powerful than other
self-management techniques in certain respects. For example, other self-
control techniques, such as autogenic training, self-hypnosis, or relaxation
with covert self-statements employ certain covert images and self-statements
(e.g., "I'm feeling warm; my right arm feels heavy; I am feeling relaxed"). In
formal Zen meditation, the individual does not say anything to himself, nor
does he/she attempt to engage in positive covert images or thoughts. It is this
absence of preprogrammed covert thoughts and images that seems to allow
the meditator to observe and become unstressed to “what’s on his/her own
mind” (step four). Repetition of preprogrammed statements and images
would seemingly interfere with this process and would also seem to prevent
the “mind from becoming empty” (step five). This “empty mind” (i.e., an
absence of verbal behaviors and images) may be important in certain exter-
nally oriented situations, such as the counseling setting and interpersonal
relationships. The empty mind may also be important for being certain
internal cues, especially in clinical areas dealing with stress and tension,
obesity, tachycardia, migraine, and hypertension.

Finally, because during meditation the individual seems to be able to
step back from personal fears, concerns, and worries, and observe them in a
detached relaxed way, it is possible to hypothesize that after meditation the
individual should be able to think about the fears and evaluate how he or she
wants to act without being overwhelmed or oppressed by them. Thus, even
though during the process of formal meditation there is ideally no thinking or
evaluation, subsequent to meditation the individual may be well prepared to
think and make decisions. In this way, meditation might help produce “self-
observation conditions such that inner feedback for behavior change is
optimal”.

It appears that when informal meditation is made contingent on certain
cues and coupled with covert self-modeling and self-instructions, it becomes
a more powerful clinical strategy for an immediate problem. However, this
is in no way meant to suggest that the combination of informal meditation
with behavioral self-control strategies makes informal meditation more effec-
tive for the goal for which it was originally intended: “ongoing awareness of
all cues.”

Similarly, from a Western perspective, formal Zen meditation is often
seen merely as a technique that may be useful when applied to certain clinical
problems. However, from an Eastern perspective, Zen meditation is a way of
“being” in the world: a total awareness of oneself, of nature, of others. Thus,
it is important to note that the technique of formal Zen meditation may be
being used clinically for goals other than those for which it was originally
intended.
<table>
<thead>
<tr>
<th>Topics</th>
<th>Formal Meditation</th>
<th>Behavioral Self-management</th>
<th>Informal Meditation</th>
<th>Contingent Informal Meditation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Environmental Planning</td>
<td>specified setting (e.g., room or in nature); reduced external stimuli to initially help individual focus on object of meditation</td>
<td>in natural environment where problem behavior occurs; or symbolically in neutral environment</td>
<td>occurs in natural environment</td>
<td>same as behavioral self-management</td>
</tr>
<tr>
<td>where intervention strategy occurs</td>
<td>stimulus cues (control); e.g., incense; or, in case of concentrative meditation, the object of meditation as stimulus cue</td>
<td>specified cues in natural environment (programming antecedent or initiating stimuli)</td>
<td>everything is a stimulus cue for &quot;awareness&quot;</td>
<td>same as behavioral self-management</td>
</tr>
<tr>
<td>if stimulus cues are used</td>
<td>specified body posture: lotus or half-lotus, to reduce bodily distractions</td>
<td>self-regulated stimulus exposure</td>
<td>no specified posture</td>
<td>no specified posture</td>
</tr>
<tr>
<td>nature of physical posture</td>
<td>&quot;KWAT&quot; as preprogrammed punishment for nonalert behavior</td>
<td>symbolic desensitization occurs in relaxed posture: e.g., reclining in thick armchair</td>
<td>no preprogrammed punishments or reinforcers</td>
<td>sometimes preprogrammed punishment or reinforcement</td>
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<tr>
<td>if preprogrammed punishments or reinforcers</td>
<td>in formal Zen meditation, focusing on behavior of breathing alters the behavior: a stumbling reactive effect (step 1); soon mind wanders, i.e.,</td>
<td>preprogramming of certain punishments or reinforcers</td>
<td>behavioral self-observation alters behavior observed (generalization one); then there is habituation to task; subject forgets to monitor; when subject stops monitor-</td>
<td>goal is that observation have no interference or interruption of daily activities</td>
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<tr>
<td>Cognitive Variables</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>effects of observation</td>
<td></td>
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<thead>
<tr>
<th>what is observed</th>
<th>initially just breathing is focused on (steps 1, 2, 3); eventually openness and receptivity to all stimuli, internal and external (steps 4, 5) occurs</th>
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</thead>
<tbody>
<tr>
<td>how behavior is observed: self-evaluation and goal setting</td>
<td>thoughts, behavior, breathing, are observed without analysis; no charting, no evaluation, no goal-setting: i.e., “detached” self-observation</td>
</tr>
<tr>
<td>desensitization paradigm, when occurs</td>
<td>relaxation (step 3) precedes feared images (step 4); in formal meditation, a “global” desensitization with no specific cues</td>
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<tr>
<td>formal meditation occurs at specified times throughout the day, regardless of antecedent stimuli</td>
<td>relaxation precedes phobic scene (cf. Wolpe, 1958, 1969)(^{12}): involves subjective hierarchy of disturbing scenes; or, relaxation follows phobic scene (real or symbolically) and is contingent on discriminating certain cues (cf. Goldfried, 1973)(^{13})</td>
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<tr>
<td>self-observation</td>
<td>all behaviors, actions, and thoughts are observed: global awareness</td>
</tr>
<tr>
<td></td>
<td>observation without comment and without evaluation</td>
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<tr>
<td></td>
<td>continuous discrimination of cues in daily environment</td>
</tr>
<tr>
<td></td>
<td>only specified cues (e.g., anxiety, stress) in internal and external environment are observed</td>
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<tr>
<td></td>
<td>same as behavioral self-management; however, also try to maintain detached self-observation at same time</td>
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<tr>
<td></td>
<td>relaxation follows phobic scene or certain stress cues</td>
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<tr>
<td>Topics</td>
<td>Formal Meditation</td>
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<td>--------------------------------------------</td>
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<tr>
<td>cognitive statements and images; thought stopping</td>
<td>observation without comment (no self-statements); and without evaluation (no thinking); covert images are allowed to &quot;flow down the river of consciousness&quot; and are not dwelled on; focus on competing response of breathing helps remove thoughts (step 4)</td>
</tr>
<tr>
<td>focused attention</td>
<td>in formal Zen meditation, attention focused on breathing (steps 1–4); the KWAT (step 5) helps return the wandering mind to the object of focus; in Raj Yoga (cf. Anand, 1981 China, &amp; Singh, 1961) note the use of internal focusing</td>
</tr>
<tr>
<td>Breathing effects of; type</td>
<td>breathing from the abdomen; goal is effortless, autonomic &quot;controlled&quot; breathing; voluntary breathing from relaxed, aware autonomic breath-</td>
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</table>
breathing plus awareness of that breathing; used as a type of relaxation (step 3); an aid in untruing (step 4) and in thought stopping (step 4)

cheat/thoracic area; used in deep muscle relaxation

informal breath medication (cf. Shapiro, 1974a); nonfocus on breathing (but rather on sacred sound) in "contingent" Transcendental Meditation (cf. Boudreau, 1973)
APPENDIX 4: BEHAVIORISM, HUMANISM, AND BEYOND

To My Humanistic/Existential Colleagues

On Preconceptions about Behavior Therapy
Below are listed some common preconceptions about behavior therapy. I enclosed this list as a way of helping us check to make sure our "cups are empty"; as the story of Nan-in in Chapter 4 suggests, it is difficult to discuss behavior therapy unless we first empty our minds and remove our preconceptions.
I have purposely put this list at the end of the book in hopes that by presenting what behavior therapy is first, the preconceptions will have been addressed and cleared up. In case there are some lingering misunderstandings, however, I have referred to the appropriate section in the text you may want to reread in order to "empty your cup."

Preconception One. Behavior therapists try to control another person's behavior, thereby taking away his free will. Whereas good therapies deal with the client in an I-Thou relationship, not manipulating or shaping the client, behavior therapists mechanically manipulate clients. Further, behavior therapists deal segmentally with only part of a person, not the whole person.

See the sections on teaching the client to take responsibility for his own actions; on getting the client to choose his own goals (Chapter 2).

As can be seen, social learning theorists work to increase a client's freedom. A good behavior therapist, as any good therapist, should use techniques within the framework of a supportive relationship. Otherwise, as behavior therapists have recognized, the client may not be willing to use the techniques. All forms of therapy and education, in both the East and West, try to influence the client about certain goals. By working with the client to develop cooperative goals, by being open and honest about how certain techniques can help him/her reach certain goals, the behavior therapist, as any therapist, is merely being a good teacher.

Preconception Two. Behavior therapists don't deal with the emotions and feelings of a person, but only with observable, quantifiable behavior. They see feelings and emotions as part of a black box which isn't important.

This preconception has been fully covered in the text (see section on the importance of observing internal thoughts and images) and does not need further elaboration here.

Preconception Three. Behaviorists don't believe in concepts such as consciousness, awareness, free will, compassion; and behavioral goals are different from humanistic, self-actualizing goals of therapy.

The concepts of free will, awareness, etc. are talked about in Chapters 2...

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and 3. It shall be apparent that these concepts are of crucial importance to behavior therapists.

It is true that traditionally behavioral goals have been applied to specific patient problems: weight, alcoholism, smoking, fears and phobias, insomnia, anxiety. Normally, the goals of positive mental health have been ignored. Partly this makes good sense, for patients seen in clinics are usually hurting, and want relief from their hurt. However, there is no reason why target behaviors can’t include health-giving “self actualizing” types of goals. Goals of health may be conceptualized from a behavioral perspective, behavioral techniques can be used to obtain these goals.

Preconception Four. Behavior therapists deal only with symptoms of behavior, not underlying causes. However, once they “cure the symptom” it returns, only in a different form.

As we have noted in our discussion of self-observation, social learning theorists do look for the cause of behavior. However, they look for the cause in the here-and-now environment rather than in historical causes (e.g., Freud). In addition, there is an attempt to not only teach a person awareness of the problem, but to give him or her the skills needed to deal with the problem. These skills include means of dealing with the current problems, as well as self-management skills which can be applied to other life problems as they come up. Finally, regarding symptom substitutions, Walter Mischel notes: “Behavior change programs . . . tend to be effective and the changed behaviors are not automatically replaced by other problems.” On the contrary, and not surprisingly, when clients are freed from debilitating emotional reactions and constricting crippling avoidance patterns, they may become more free to behave in new adaptive ways that in turn lead to more positive consequences for them. After reviewing the relevant literature on behavior therapy, Grossberg says about symptom substitution:

The overwhelming evidence of the present review is that therapy directed at elimination of maladaptive behavior (“symptoms”) is successful and long-lasting . . . Unfortunately, psychotherapists seem to have stressed the hypothetical dangers of only curing the symptoms, while ignoring the very real dangers of the harm that is done by not curing them. 4

Preconception Five. Behavior therapists don’t dream.

Some of my best friends are behavior therapists. They tell me, unofficially, that they do dream. They just don’t know what to make of the dreams.

Internal Self-examination
I’d now like to turn to some potential caveats within our own humanistic tradition. First, we should remember the advice of Confucius that the wisdom to perceive a truth is not enough. There are many awareness exercises in the humanistic/encounter group tradition. However, we need insight plus the
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skills to follow through with the insight. Second, we should be aware of the limitations of advocating "global" growth, without tying growth down to more specific goals. Growth is such an amorphous word that unless we are more specific, it becomes nearly impossible to evaluate our progress. Third, we should be aware of our own preconceptions of what "growth" is. For example, although it may be important to posit alternative models for our clients, it is also important to hear and listen to the client's concern as (s)he sees it. Not everyone who comes to us with a specific hurt (e.g., loneliness) needs to first experience facing existential angst. It should not be beneath us to teach our clients the practical skills (social skills) to help them deal with their everyday hurts. Fourth, although I believe that (a) Eastern spiritual values are a necessary adjunct to our Western technology and science and that (b) the Eastern emphasis on intuition, spirituality, a holistic perception of the world, altered states of consciousness can provide us with a valuable knowledge and wisdom, I also believe we make a mistake if we unquestioningly embrace all aspects of the Eastern tradition, eschewing logic and analysis. As Alan Watts noted, Zen itself may become rigidified in the dogma of non-dogma, thereby developing a static quality and blinders of its own. By using tools of Western intellect and analysis, we can come to see some of the blinders and the static quality that may have developed in the formal Zen tradition. Further, Western emphasis on intellect, reason, and analysis may provide us with certain tools that are useful in translating the descriptive terminology of Zen into terms more understandable to Western readers. These tools "de-mythologize" Eastern mysticism and help us get at the heart of why Zen techniques work. It further shows which techniques may be useful, and which not. This knowledge, provided by empirical evaluation, is crucial to practicing psychotherapists, educators, and people in the helping and healing professions.

Finally, although we need to acknowledge that Zen, like the humanistic and transpersonal schools, provides us with a pleasing vision of our human potential, it may be just a descriptive vision, and not a priori scientifically true. We may not be innately self-actualizing creatures; we may not be innately born with free will. We may need the skills to attain these qualities of existential freedom; of developing warm and compassionate human relationships. We need to believe in the vision; but we must not let it blind us to the skills necessary to make the vision a reality.

To My Behavioral Colleagues

On Preconceptions about Zen and Humanistic/Existential Psychology

Just as there may be preconceptions about what behavior therapy is, there are preconceptions about the humanistic/existential schools of thought and Eastern mysticism. These preconceptions often include the following three:

Preconception One. The concepts discussed are esoteric and have no practical significance in treating human problems.
Appendix 4: Behaviorism, Humanism, and Beyond

Chapters 1 and 6 show the practical applications of Zen techniques to our daily lives and problems. As such, Zen techniques may be a useful way to expand the behavioral base of techniques. And, Zen values and teachings can provide us alternative models and values of excellence which have a real practical significance in terms of the goals our clients set. We have discussed these issues at length in Chapters 1 and 5.

Preconception Two. Adherents of these disciplines are really "soft" scientists who don't take the time and effort to evaluate whether or not their techniques are really effective.

There is no reason why these techniques can't be evaluated with an empirical, data-based methodology for their effectiveness in areas such as stress and tension management, drug abuse, insomnia, and hypertension.

Preconception Three. The humanistic techniques increase our awareness, but don't give us the skills to deal with increased awareness.

We have shown in the case studies in Chapter 6 how Zen techniques can be combined with behavioral techniques to provide individuals with increased awareness and the skills to effect personal change.

Internal Self-examination
In addition, looking at behaviorism from a different philosophical vantage point may help point out whatever blinders and preconceptions there might be within a behavioral approach. Let me suggest some of the caveats that we as behavior therapists need to be aware of:

1. We need to be aware of an overemphasis on analysis, definitions, charts, data. Although a large section of this book was devoted to showing the importance of words and analysis (Chapters 2 through 5), we need to remember that words can't take the place of reality and of experiencing. Further, many people either can't or aren't willing to collect the data in the precise way we would like them to do so. Some of these people are quite willing to make changes, but find data gathering to be so difficult that it becomes more of a barrier than an aid.

2. Data collection, with its stress on analysis, causality, consequences, may be overemphasized, leaving the client with no concomitant ability to "let go" and just be.

3. Thus far there has been a lack of emphasis on the existential difficulty of choice and commitment.

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4. There is a danger of an overreliance on techniques. As Nolan wrote, "Without an independent basis for specific cultural goals, the technique itself is likely to dictate those goals." It is important that we keep a perspective of the larger culture in which our techniques are used.

5. A behavioral view of our "self" as a blank slate that can learn is not as comforting as a view of our innate nature as "organismic" and "self-actualizing." Behaviorists can and should see this "self-actualizing" view as a model, a vision of who we can become. As we have suggested, believing in its worth as a vision may be at least as important as documenting it as a prior untruth (Chapter 5).

6. In working out contracts, it is important that we spend a large percentage of our time ensuring that there is a "spirit" behind the contract. Otherwise a contract, or a given set of techniques, may feel forced and confining.

7. We need to realize that for all our emphasis on scientific approach and empirical verification, we also use intuition and speculation in our hypothesis testing.

8. Contingent reinforcement for skill building is useful and necessary. However, we must also be able to use non-contingent reinforcement as a means of teaching self-acceptance (Chapter 2).
Appendix 4: Behaviorism, Humanism, and Beyond

9. Finally, although it may be important to emphasize initially that we are determined by the environment and thus don’t have free will, it is also crucial to teach people to believe “as if” they do have free will (Chapter 3).

To Researchers, Clinicians, Educators
(Scientists and Practitioners)

Abraham Maslow, in The Psychology of Science, noted that there were two particularly dangerous attitudes being developed with regard to science. One rejected the scientific approach altogether, and confused “impulsivity” with “spontaneity.” The other was the belief in an amoral, value-free technological science. Behaviorists have accused transpersonal and humanistic psychologists of the former; the transpersonal and humanistic psychologists have accused behaviorists of the latter. In this book I have tried to show that it is possible to wed both values and a scientific approach to the study of behavior: to not only suggest a “new” (2000-year-old) technology that can help us cope with this society’s cultural norms but also to suggest other cultural norms and values.

Thus, I have worn two hats in writing this book. One is that of the academician/scientist. This part of me would like everything tied to data—no statement would be made unless there were sufficient empirical research justifying its inclusion. This is an important position, for once we leave the data, we are in the realm of speculation and educated guessing. There may be a tendency, amidst the excitement of “new thoughts” and “new integration,” to speak in slight hyperbole. The efficacy of many of the self-regulation techniques, though promising, needs to be further documented. There are problems of generalizability of techniques, long-term maintenance, placebo effects, and so forth. Further, as we try to incorporate Zen into our daily lives, there is the problem that we may misperceive its meaning. For example, I recently saw an ad for “Zen bath powder—a total fragrance and way of being in the world.” Without a proper philosophical perspective, we may rush to Eastern spirituality and skim off the top, without the essence.

I also wore the hat of clinicians and educators, who are on the front line, and who see people every day. We need to present these people with the best, most up-to-date skills and knowledge possible. Their concerns won’t wait. So we go with our best, albeit incompletely documented efforts. We try to be honest with ourselves, and acknowledge the intuitive, “seat-of-the-pants” speculation that is often used in our efforts. At the same time we need to be honest in evaluating the effectiveness of our efforts.

On one level, this book has been speculative and heuristic. It has begun with the research data, but then it has gone beyond the data to (1) integrate an Eastern and Western vision of health; (2) develop a precise vision of Eastern goals that is understandable to the Western reader; and (3) combine this vision with Western goals. In formulating this combined vision of

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nirvana, there has also been an attempt to point out the limitations of words to describe certain experiences that are beyond the scope of words.

Precision here refers to determining the precise techniques from the East and the precise techniques from the West which, either alone or in combination, are most useful in attaining precise integrative goals of the vision we have called nirvana. The efficacy of this approach, though promising, necessitates further empirical documentation.

Psychology is currently undergoing a revolution in thinking and conceptualizing. There is an openness in the field, a breaking down of the traditional scientific paradigms. Although this makes for a confusing time within a scientific discipline, it also makes for an exciting time, for new approaches and new paths are being explored. We are giving ourselves permission to explore; we need to also take the time to verify the results of our exploration. It is in this spirit of open inquiry and searching, on both a personal and professional level, that this book was written.

On another level, this book has also tried to set to rest certain preconceptions that two major current schools of psychology (humanistic and behavioral) have about one another. Some of the preconceptions are accurate; there are real differences between the two schools of thought. Some of the preconceptions are not accurate, and seem to serve no useful purpose. Let me first suggest the similarities between the schools, with Zen representing the humanistic, transpersonal school and behavioral self-management representing the social learning theory viewpoint.

Both Zen Buddhism and behavior therapy involve teaching skills; both schools of thought hold that we can learn the skills; both schools involve, initially, a teacher who tries to influence us (educate us) to learn the skills so that eventually no teacher is necessary.

In both schools the teacher (therapist) needs an affirmation that the client (pupil) is willing to change; the therapist must use certain cues, statements, consequences to shape the client to feel he is in control of his own life; and he must also ensure that the client agrees with the goals of the strategies involved.

There are differences, too. Both the behaviorists and the humanists are carrying on a longstanding tradition over those differences. This tradition dates back to Confucius and Lao-tse in ancient China. As we have already noted, both men lived during a time of social chaos and revolution. Confucius believed the problem was that the society needed more and better labels, more precision, more “scientific verification” of principles. Lao-tse felt that Confucius’ solution was scutely part of the problem, and advocated letting go of words and labels, opening ourselves to the “naturally” good way of things, the Tao, and following the way of water—flowing down the river. As we have suggested, Confucius’ position is evidenced in the behavioral self-management literature, with its precise labeling, logical, causal, sequential processing of information (mode of our left brain?); and Lao-tse’s position is evidenced in meditation, with its holistic mode of perceiving, a lack of goal directedness, an absence of search for causality (mode of our right brain?).

The behaviorists’ approach is right. The humanistic/transpersonal/meditative approach is right. Both are right. Both provide us with a unique

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and valuable way of knowing the world and perceiving reality. By literally and figuratively bridging the hemispheres, by combining both strategies in an integrative fashion, we may be able to develop a truly complete and comprehensive way of dealing with the whole person in educational settings, in therapeutic interaction, and in our own lives.
APPENDIX 5: SELECTED READINGS

On Zen Buddhism and its Relationship to Meditation, Altered States, and Western Psychotherapy

General Introduction to Zen Buddhism


ALAN WATTS, “Beat Zen, Square Zen, and Zen,” in This is It (San Francisco: City Lights Bookstore, 1959). Watts’ article suggests some of the misconceptions Westerners may have about Zen, some of the misconceptions Easterners seem to have about Zen, and what “true Zen” is.

Meditation and Altered States:
General Introduction

CHARLES TART, Ed., Altered States of Consciousness (New York: Wiley, 1969). The book that first coined the term “altered state.” Outstanding collection of readings. Many of the articles cited in this text, such as Kasamatsu and Hirai's study of Zen meditation; Anand, China, and Singh’s study of Raj yogis; and Deikman’s study of meditation on a vase are included in this collection.


Zen and Western Psychology

Zen has been compared with almost every major Western psychotherapeutic school of thought. Below are listed some reviews of Zen and psychology in general, followed by a list of readings concerning the relationship between Zen and specific schools. Many of these articles are reprinted in Deane Shapiro, Ed., Zen and the Art of Psychotherapy. Zen may be viewed as a psychotherapeutic system in that it has the following: (a) a view of the individual (personality theory); (b) a view of the human potential; and (c) techniques to help individuals reach that vision of the human potential.

General Relationship between Zen and Western Psychology


J. FADIMAN and R. FRAEBER, "Zen Buddhism," in Personality and Personal Growth (New York: Harper & Row, 1976). This is the first time that Zen has been included in a Western psychology personality text.

Zen and Jung


Zen and Interpersonal Theory (Sullivan)


Zen and Psychoanalysis


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Zen and Existentialism


Zen Meditation: How To Do It


Both these books are clearly written and give background to the practice of meditation, illustrations from people who have tried it, and practical instructions which the reader can use.

Zen Meditation: Additional Readings on Physiology and Psychology


Y. AKISHIGE, Ed., Bulletin of the Faculty of Literature of Kyushu University, 1974.


Applications of Zen Meditation to Therapy with Adults, Children, and Therapists


Appendix 5: Selected Readings


Comparison of Zen Techniques and Western Techniques:

Zen Meditation and Behavioral Self-control


Zen, Autogenic Training, and Hypnosis


Zen in Play Therapy


Morita Therapy


Meditation and Psychotherapy


Other Zen Techniques:

Haiku


Sumie


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Koans, Mondos, Anecdotes

Zen in Japanese Culture:
General Introduction

Swordplay, Archery
EUGEN HERRIGEL, Zen in the Art of Archery (New York: Pantheon, 1953).


Tea Ceremony

Other General Readings on Zen


Zen in the Modern Japanese Novel


Historical Background and Related Readings

Appendix 5: Selected Readings

First-person Accounts

Journals
- Journal of Humanistic Psychology
- Journal of Transpersonal Psychology
- Psychologia: An International Journal of Psychology in the Orient
- Journal of Altered States
- East-West Journal

On Social Learning Theory, Behavior Therapy, and Behavioral Self-management

General Principles of Social Learning Theory


An easily read book in which Skinner explains why our contemporary way of thinking about ourselves limits our ability to be truly free individuals.

A small book in which Skinner lays out most of his basic ideas.


A sophisticated, well-documented book that discusses the limits of trait concepts and traditional diagnostic tests. Lays the philosophical foundation for a social learning “personality theory.”

APPENDICES

social learning theorists look at a variety of psychological phenomena, such as self-esteem, emotions, child development, etc.


General Texts on Behavior Therapy

General Techniques of Behavioral Self-management

Practical Self-help Guides:
General Applications
JHAN ROBBINS and DAVE FISHER, How to Break Bad Habits and Make Good Ones (New York: Dell, 1976).
CAROL FOSTER, Developing Self-Control (Kalamazoo, Michigan: Behaviordia, 1974) (may be ordered from Behaviordia, P.O. Box 1044, Kalamazoo, Michigan 49005).

Applications to Families, Children
Appendix 5: Selected Readings

GERALD PATTERSON, Families (Champaign, Ill.: Research Press, 1971).

Assertiveness Training
SHARON and GORDON BOWER, Assert Yourself (Reading, Mass.: Addison-Wesley, 1976).

Weight

Fears, Phobias

Insomnia

Specific Techniques:
Systematic Desensitization

Contracting

Relaxation Exercises

Ethical Considerations

Journals
Behavior Therapy
Behavior Research and Therapy
Journal of Behavior Therapy and Experimental Psychiatry
Journal of Applied Behavioral Analysis
Behavior Modification: A Quarterly Journal

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On Existentialism

General Overview

Both these books give a clear and useful overview of existentialism. Barrett's book has a well-written section covering, in brief form, Kierkegaard, Nietzsche, Heidegger, and Sartre. Kaufmann's book has readings from the original thinkers, plus his extensive comments.

Relationship to Psychology
ROLLO MAY, Man's Search For Himself (New York: W. W. Norton, 1953). An extremely moving earlier work, describing the existential condition of the modern person.
VICTOR FRANKL, Man's Search for Meaning (New York: Pocket Books, 1971). This book records Frankl's experiences in a concentration camp, telling how, from the midst of despair, he began the formulation of logotherapy, a school of therapy based on our human search for meaning in life.
JAMES BUGENTAL, An Existential-Humanistic Approach to Psychotherapy (San Francisco: Jossey-Bass, 1976). Bugental describes several cases from his own private practice, and shows how he uses existential and humanistic psychotherapy.

PETER KOESTENBAUM, Managing Anxiety: On Knowing Who You Are (Englewood Cliffs, N.J.: Prentice-Hall, 1974). Koestenbaum is a philosopher who has the ability to translate abstractions into useful, helpful knowledge. This book illustrates how an existential viewpoint can help in dealing with the anxiety that is our human condition.

Related Philosophical Religious Books
MAURICE FRIEDMAN, To Deny Our Nothingness (New York: Dell, 1967).
Appendix 3: Selected Readings


Literary
APPENDIX 6: CHAPTER NOTES

Preface

1 I first heard the term “transpersonal behaviorism” used by Charles Tart at a conference I chaired on Ways of Healing, University of Santa Clara, 1976. Jim Fadiman suggested the term “Zen Behaviorism.”

Part I


2 I first heard the term “Grand Conditioner” in a quote from Floyd Matson during a speech by Michael Mahoney at the annual meeting of the American Educational Research Association, 1974.

3 For a useful elaboration of the different types of Zen, see Alan Watts, “Beat Zen, Square Zen, and Zen,” in This is It (San Francisco: City Lights Books, 1959).

4 It is important that the reader not confuse humanistic psychology, which believes in the innate, self-actualizing nature of the individual (as described by Goldstein, Rogers, Maslow, and others) with the American Humanist Association, which defines humanist as follows: “Any account of nature should pass the test of scientific evidence... We find insufficient evidence for belief in the existence of a supernatural... As nontheists, we begin with humans, not God, nature not Deity. (Humanist Manifesto 11. The Humanist, 1973, 33(6), 4-9.


Chapter 1

1 This poem is quoted in Alan Watts, The Way of Zen (New York: Pantheon, 1967), p. 27.


3 For a more detailed account of the different types of meditation, see Claudio Naranjo and Robert Ornstein, On the Psychology of Meditation.
Appendix 6: Chapter Notes


5 For a more thorough discussion of these five steps of meditation, see Deane Shapiro and Steve Zifferblatt, “Zen Meditation and Behavioral Self-Control: Similarities, Differences, and Clinical Applications,” American Psychologist, 31 (1976), pp. 519–32.

6 There may be a great variety of “altered states” produced by different self-regulation techniques (hypnosis, autogenic training) by drugs as well as by different forms of meditation. (See C. Tart, Altered States of Consciousness (New York: Wiley, 1968.) We are referring here to one type of altered state, described in detail in the text. This state may, to a greater or lesser degree, overlap with other so-called altered states. Neurophysiologically, we don’t yet know enough to make that determination.

7 Deane Shapiro, Sooring (unpublished novelette; available from author P.O. Box 2084, Stanford, CA. 94305), p. 59.


12 Matsuo Basho, Narrow Roads to the Deep North and Other Travel Sketches (Tokyo, Japan: Mushinsha Ltd.)


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16 For a more thorough discussion of right and left brain hemispheric specialization, see David Galin, “Implications for Psychiatry of Left and Right Cerebral Specialization,” Archives of General Psychiatry 31 (1974), pp. 572-83; and Julian Davidson, “The Physiology of Meditation and Mystical States of Consciousness,” Perspectives in Biology and Medicine, 1976, pp. 345-380 (see particularly the section on mystical experiences and hemispheric laterality).


24 Cited in Suzuki, Zen Buddhism (W. Barrett, Ed.).

25 See, for example, the writings of Abraham Maslow, Religion, Values, and Peak Experiences (Columbus: Ohio State University Press, 1964).


Appendix 6: Chapter Notes


29 In Selected Writings of D. T. Suzuki.

30 In Watts, "The Sound of Rain."

31 Ornstein, Psychology of Consciousness.


34 Rahula, What the Buddha Taught, p. 70.


37 Rahula, What the Buddha Taught, p. 71.

38 In Watts, "The Sound of Rain."


43 From Selected Writings of D. T. Suzuki.


46 Basho, Narrow Roads to the Deep North.

47 Ibid.

48 Unpublished collection of poems from the class Zen Buddhism, Stanford University, 1972.

49 D. Shapiro and J. Shapiro, A Daily Musing, unpublished book of haiku and other poetry. Available from the authors, P.O. Box 2084, Stanford, CA 94306.
Chapter 2

6 Walter Mischel, Personality and Assessment (New York: Wiley, 1968). As Mischel notes, although trait formulations may be adaptive from a survival standpoint, there are some definite problems when we use traits as explanations of behavior. This will be discussed at greater length in Chapter 4.
14 The elements of a fair contract are adapted from Lloyd Homme and D. Tosti, Behavior Technology: Motivation and Contingency Contracting (San Rafael, Cal.: Individual Learning Systems, 1971).
15 For a discussion of progressive relaxation techniques, see Edmund Jacobson, "The Two Methods of Tension Control and Certain Basic Technique in
Appendix 6: Chapter Notes


16 Adapted from a tape recording to teach relaxation by John H. Marquis, Ph.D., V.A. Hospital, Palo Alto, Calif.

17 See Joseph Wolpe, Psychotherapy by Reciprocal Inhibition (Palo Alto, Cal.: Stanford University Press, 1958) for the most comprehensive first account of the development of this technique.

18 The fear survey schedule has been revised and readapted many times. The one excerpted here is adapted from J. Wolpe, P. J. Lang, J. H. Geer, M. D. Spiegler, and R. M. Liebert. See J. Wolpe and P. J. Land, “A Fear Survey Schedule,” Behavior Research and Therapy, 2 (1964) 27. See also J. Wolpe, The Techniques of Behavior Therapy (New York: Pergamon, 1969) Appendix 3, 283-86.

19 I first learned of the “sandwich technique” from Lloyd Homme in a personal communication, 1972.


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26 See, for example, J. Bugental, An Existential Humanistic Approach to Psychotherapy (San Francisco: Jossey-Bass, 1976).

27 Jacobson, "The Two Methods of Tension Control," in Biofeedback, p. 475. (Hallic mine.)


Chapter 3


It should be noted, too, that although some learning can take place without awareness, we do learn faster once we become aware of the process: see W. Mischel, Personality and Assessment (New York: Wiley, 1968), p. 197.

2 The underground man’s poetic feelings are reflected in an article by H. M. Lefcourt entitled "The Function of the Illusion of Control and Freedom," American Psychologist, 28 (1973), 417-25. Lefcourt notes that "the sense of control, the illusion that one can exercise personal choice, has a definite and positive role in sustaining life. The illusion of freedom is not to be lightly dismissed without anticipating undesirable consequences."


5 Ibid., p. 83.

6 Dustin Hoffman, in Playboy interview, ©1975, by Playboy.

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Appendix 6: Chapter Notes


Chapter 4

1 This may not be the exact translation of this poem, but I believe the content is true to the "spirit" of the original poem. Since I couldn't remember the original proper names, I made up names for the mountain and lake which I don't believe are in the original. I apologize to the poem's creator for this.


5 From Paul Reps, Zen Flesh, Zen Bones (Rutland, Vt.: Charles Tuttle, 1968), p. 34.


7 Victor Frankl, Man’s Search for Meaning (New York: Pocket Books, 1971).


9 There are basically three different theories to explain motivation: id psychology, ego psychology, and social learning theory. In social learning theory terms, motivation is not seen as innate but rather influenced by social variables, cultural stereotypes, models, and other conditioning factors. Early psychodynamic theorists, such as Freud and the id psychologists, posited a drive reduction model of motivation in which there were certain instinctual drives which motivated an individual. Once these drives were reduced the individual was satiated (See J. Dollard and N. Miller Personality and Psychotherapy, New York: McGraw-Hill, 1950). Later dynamic formulations such as Hartman (Hartman, H. Essays on Ego Psychology: Selected Problems in Psychoanalytic Theory, New York: International University Press, 1964) suggested that the ego, rather than merely reacting to the id's impulses, may in fact be a "conflict freesphere"; and still later formulations, such as that of Robert White (White, R. "Motivation Reconsidered: The Concept of Competency." In Functions of Varied Experience, edited by D. W. Fiske and S. R. Maddi Homewood, Illinois: Dorsey, 1961, Chap. 10) suggests that the ego may have an energy of its own: a drive towards competence (see also White, R. W. "Ego and Reality in Psycho-
APPENDIXES

analytic Theory: A Proposal Regarding Independent Ego Energies, 

With the ego psychologists came a new conception of the human potential. Writers such as Abraham Maslow pointed out that there were not only deficit motivations such as drive reduction (need for food, clothing, shelter) but also growth motivations, "self-actualizing qualities inherent in the organism." (Maslow, A., _Toward a Psychology of Being_, 2nd Edition, Princeton: Van Nostrand, 1968; Maslow, A., _Motivation and Personality_, New York: Harper and Row, 1954.

The ego psychological model was given some empirical support in both animal and human research. Experimental psychology showed that the tension reduction model of the id psychologists and Dollard and Miller was insufficient to account for all observable behavior in animals, and that there may be other motivators, such as curiosity, to account for such phenomena as "exploratory behavior." Other research, such as that by Berlyne (Berlyne, D., "Curiosity and Exploration," _Science_, 153, 1966, 25-35; Berlyne D., _Conflict, Arousal, and Curiosity_, New York: McGraw-Hill, 1960) showed that individuals tend to spend more time looking at new objects than they do at objects that are already known.

Let me suggest how the ego psychology view of motivation may be reconciled with social learning theory. First, if there is in fact an instinctual exploratory drive in an individual, there is every reason to believe that this drive would be strongly influenced by the person's learning history. For example, if a rat is shocked the first time it explores beyond its cage, there will be less likelihood it would engage in future exploration. Similarly, if each time a student tries to act creatively and outside the traditional framework of the school setting, he or she is punished or criticized, this will likewise influence the frequency of exploratory behavior. Finally, as we will further discuss in Chapter 5, it may be an irrelevant question whether or not individuals actually have an innate self-actualizing drive (ego psychology) or are choosing to follow the models of excellence that they would like to emulate (social learning theory). Both beliefs may lead to the exact same outcome.

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Chapter 5

1 From Carlos Castenada, _The Teachings of Don Juan_ (Berkeley, Cal.: University of California Press, 1968).
Appendix 6: Chapter Notes

6Two useful books on the nature of ordinary awareness are Robert Ornstein’s The Psychology of Consciousness (San Francisco: W. H. Freeman, 1972) and Walter Mischel’s Personality and Assessment (New York: Wiley, 1968). Ornstein’s book gives more information on ordinary awareness in general; Mischel’s book gives more information about the specific nature of trait formulations.
9Ibid., p. 255.
11Mischel, Personality and Assessment, p. 68.
12See, for example, the discussions of Sartre and Heidegger in William Barrett, Irrational Man (New York: Doubleday, 1958), pp. 206-60.
13Cited in Suzuki, Zen Buddhism (W. Barrett, Ed.).
18Rogers, Client Centered Therapy, 1951; Maslow, Toward a Psychology of Being, 1954; Goldstein, The Organism, 1939.
19See, for example, Kanfer and Karoly’s model of self-control involving self-observation, self-evaluation, and self-reinforcement. In the model of the mirror we are discussing here, there is only self-observation. (F. Kanfer and P. Karoly, “Self-Control: A Behavioral Excursion into the Lion’s Den,” Behavior Therapy, 3 [1972], 399-416.)

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27 See Chapter 2, Discussion of "as if."
29 George Gallup, in a poll described in the San Francisco Chronicle, November 1976, noted that nearly 5 percent of the American population (16 million people) were involved in some way with Eastern disciplines and Eastern techniques such as meditation and yoga.
34 Ibid., 4.14.
Appendix 6: Chapter Notes

45 F. Kanfer and P. Karoly, “Self-Control.”
50 Watts, The Spirit of Zen, p. 37.
53 From Playboy Magazine.
61 It is possible that the phenomena of “detachedness,” of removal of “emotional overlay” can be understood in terms of the psychological process of habituation and extinction.
APPENDIXES


70 Naranjo and Ornstein, On the Psychology of Meditation, p. 199.

Chapter 6


4 The role of focusing (our "mind") is just barely being explored. Studies range from the work on self-control by Mischel (above) to attempts to manage emotional aspects of malignant diseases, such as cancer. O. C. Simington and S. Simonton, "Belief Systems and the management of emotional aspects of malignancy" Journal of Transpersonal Psychology, 7 (1975), 29-48.


6 Ibid. pp. 63-73.


Appendix 6: Chapter Notes


Chapter 7


Chapter Eight


4 See David Galin, “Implications for Psychiatry of Right and Left Cerebral Specialization,” Archives of General Psychiatry, 31 (1974), 572-83.


7 From Vajra Bodhi Sea, 1, No. 3 (October 1970), 40. Used by the Ch’An Master Hsuan Hua to conclude a work of intense meditation.

Appendix 3

1 This is a condensed and summarized version of the following article: D. Shapiro and S. Zifferblatt, “Zen Meditation and Behavioral Self-Management: Similarities, Differences, Clinical Applications,” American Psychologist, 31 (1976), 519-32.
APPENDIXES


12 See Wolpe, Psychotherapy by Reciprocal Inhibition, 1958.


Appendix 6: Chapter Notes

1 Boudreau, L.,”Transcendental meditation and yoga as reciprocal inhibitors,” *Journal of Behavior Therapy and Experimental Psychiatry*, 3 (1972), 97-98.

Appendix 4

1 See, for example, Gerald Davidson, “Counter-Control and Behavior Modification,” in *Behavior Change, Methodology, Concepts, Practice*, Hamerlynck et al., Eds. (Champaign, Ill.: Research Press, 1973).


5 There are three primary contributions which the existentialists have made to the process of therapy. The first relates to the act of labeling (where appropriate) feelings of confusion and meaninglessness as “existential anxiety.” As we pointed out in Chapter 2, the act of labeling helps us feel more in control of a situation, helps us feel we are making some order out of chaos. Second, the existentialists model a vision of the possibility of living an authentic life; further, they stress the importance for us to choose and take responsibility for our own lives. Third, they let us know that the confusion and difficulty of making a decision is a “natural” process and that we all, to a certain extent, face it. Further, they provide a shared camaraderie in our common struggle to make order out of chaos, in our search to find meaning in a meaningless universe (see Camus’ Rebel, Sartre’s Nausea).


7 There seems to be a fear that intellect and understanding may remove the mystery and beauty. If we only use intellect and analysis and never experience, this is a reasonable and justified fear. As we have pointed out in the book, there seem to be two modes of knowing. The intellectual mode, however, does not preclude the mode of the altered state. As Buber noted, we can learn to analyze a tree and learn to experience it as “thou.” Analysis does not preclude experiencing—the beauty of the tree still exists, as long as we are able to perceive it.

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8 Like all therapists, we as humanistic/transpersonal psychologists have a vision of who we can become—our human potential. Whether we admit it or not, we try, in some way, to give our clients the skills to reach that vision. For example, C. Truax noted, when observing Carl Rogers, that even in client-centered therapy the therapist decides when to respond nonjudgmentally and when not to respond at all. (C. Truax, “Reinforcement and nonreinforcement in Rogerian psychotherapy,” Journal of Abnormal Psychology, 71 (1966) 1-9.) Further, we may selectively reinforce the development of internal criteria of excellence in our clients. We need to be honest and recognize that we, too, are often trying to influence our clients toward the fulfillment of their human potential. This is as it should be. Let’s just acknowledge it. Then, rather than pretending we don’t use techniques, we can look for and develop and teach the best techniques available for our particular client’s concern.

9 See, for example, the review by D. Shapiro and D. Giber: “Meditation, a Review of the Clinical Literature,” Archives of General Psychiatry, in press.


APPENDIX 7: GLOSSARY

Aikido: A Japanese martial art, meaning the “way of harmony.” It is practiced like a dance, and there is an emphasis on being yielding and non-confrontive, flowing with the other person’s “energy.”

Alpha Waves: One type of brain wave, considered to be a sign of relaxation.

Altered State (Satori, Nirvana, Kencho Samadhi): A state of awareness in which there is an absence of words, labels, evaluations, analysis; different from ordinary awareness.

Angst: A German word which refers to anxiety about one’s place in the world and one’s meaning in life.

Antecedent: That which comes before; determining behavioral antecedents is part of one’s Self-observation skills.

Attachment: See Nonattachment.

Attribution: Refers to what we say causes a certain event to occur.

Behavioral Programming: Involves the way we reinforce and punish ourselves after a behavior has occurred.

Behavioral Self-management: Development of skills derived from Social Learning Theory principles that can help us take more control of our own lives.


Behavior Modifier: Traditionally used as a term designating an individual who practices behavior therapy with clients. Used here to designate an individual who practices behavior therapy (behavioral self-management skills) on him/herself. (See Grand Conditioner.)

Behavior Therapy: A school of psychology that deals with human problems, growth, development; emphasis is on learning as the means by which we develop both our overt and covert behaviors. (Also called behaviorism, social learning theory, behavior modification.)

Choice Points: Points during a person’s life, when there is an opportunity to consciously decide how one wants to act, rather than acting by habit and reflex.

Chronos: A Greek word referring to chronological time (hours, minutes, seconds, days, weeks, etc.).

Cognitive Avoidance: A term social learning theorists use to refer to a means by which an individual keeps from facing certain events or thoughts.

Concentrative Meditation: See Meditation.

Conditioning: Process by which our behavior is influenced by the environment (social, physical, internal).

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Consequence: What happens after something has occurred; a causal relationship is implied. [See Punishment and Reinforcement]

Contingent: Performing one action (thought, feeling) based upon the occurrence of another action (thought, feeling).

Contingencies: Consequences for a given set of actions.

Contracting: An agreement employing negative and positive consequences for decreasing maladaptive and increasing adaptive behavior, entered into either with self or with other people; a Behavioral Self-management skill.

Cosmic Chuckle: Learning to attain a sufficient distance from life events so that they are seen as humorous; also, a quiet, joyous appreciation of the wonder and grandeur of life.

Covert: Internal, inside our heads (covert self-statements and covert images are those that occur in our thoughts, not necessarily expressed in words).

Covert Images: Images or pictures inside our heads, which may be used to influence our behavior.

Covert Self-modeling: Using an image of ourselves acting in a positive, constructive way to help teach us how to behave that way in real life.

Covert statements: Dialogue inside our head, which may be used either negatively or positively to influence our behavior.

Deautomization: Undoing the normal automatic ways of doing something (in this case, perceiving the world).

Desensitization: A process by which an individual learns to not let himself be bothered by fears and concerns. Systematic Desensitization refers to constructing a series of events about a specific fear or fears. Global Desensitization involves no structured series of events, but rather “what’s on your mind at the time.”

Detached Observation: Refers to the ability to observe oneself without feeling threatened; helps us gain a perspective on our own life.

Differentiate: To be able to see the difference between two things.

Discrimination: Ability to focus on one thing, attribute, etc., as distinct from the overall gestalt, larger group, etc.

Double-bind Situation: Situation in which a person receives two simultaneous, contradictory messages of equal importance.

Environmental Planning: A self-management strategy which takes place before the occurrence of the actual Target Behavior. The strategy may involve pre-arranging the antecedents (see Stimulus Control) or the consequences, in order to influence the target behavior in the desired direction.
Appendix 7: Glossary

Existential Psychology: A school of psychology that puts primary emphasis on the need for individuals to find meaning and purpose in life, and to choose who they want to become.

Generalization: The process by which we apply what we learn in one situation to other situations.

Global Desensitization: See Desensitization.

Global Reinforcement (the “Big Cuddle”): A type of general (non-contingent) reinforcement, not related to specific behaviors or actions.

Grand Conditioner: That person who knows the most about Behavior Therapy (conditioning theory) and who applies those principles to himself (Behavioral Self-Management skills). (See Behavior Modifier.) The term is a play on the phrase, “The Grand Inquisitor” from Dostoevsky’s The Brothers Karamazov.

Habituation: Psychological term referring to a process by which a new stimulus, if repeated sufficiently, will cease to be perceived. For example, if you walk into a new room, you may notice the noise of a fan. However, if you remain in the room for a time, eventually your awareness of the fan’s sound will disappear (i.e., you will habituate to the sound of the fan).

Haiku: A form of Japanese Zen poetry, consisting of seventeen syllables grouped in a 5-7-5 pattern.

High-probability Behavior: Something that you do a lot (and like).

Humanistic Psychology: A school of psychology that deals with the potential for human growth and development; assumes a positive view of the individual—a view in which human beings are seen as innately good and self-actualizing.

Jujitsu: An ancient Japanese art of weaponless fighting.

Judo: A Japanese sport developed from jujitsu that emphasizes the use of quick movement and leverage to throw an opponent.

Kairos: A Greek word referring to timelessness; eternity; opposite of Chronos.

Karate: An oriental art of self-defense in which force is met with force, and an attacker is disabled by crippling kicks and punches.

Kenso: A Zen term for enlightenment: seeing into one’s own true nature.

Koan: A sentence upon which to meditate, given by the Zen Master to the pupil. The sentence makes no sense by conventional logic.

Kuat: A blow to a student who is failing to meditate properly, administered by the Zen Master.

Low-probability Behavior: Any behavior you don’t do very often because it is not reinforcing to you (in the short term), but which you would like to do more often.

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Mantra: A sacred word or syllable repeated to oneself or repeated out loud during meditation.

Meditation: An awareness technique in which you focus without evaluation and analysis, used in Eastern disciplines as a means to attain enlightenment. The concentrative meditation technique involves an intense focus on a single object. Other objects are blocked out. Opening-up meditation is a technique that involves keeping yourself aware of all objects, sounds, smells, sensations simultaneously. (See also Shikan-taza; Mindfulness meditation.)

Mindfulness Meditation: A type of meditation that involves discriminating and labeling all cues that come into awareness.

Modeling: Performance of any behaviors, or attitudes which are identified with by an observer and which then lead to the acquisition of those behaviors on the part of the observer.

Mondo: A series of questions and answers, between master and monk, that do not seem to make any sense by our ordinary conventional logic.

Mudra: The position of the hands during meditation.

Negative Reinforcement: Removal of an aversive stimulus. (See Reinforcement.)

Nirvana: The Eastern version of "heaven"; literally means "blow-up" or "extinction." A peaceful spiritual state of mind, a state of enlightenment and well-being.

Nonattachment: Ability to be nonpossessive, nonclinging; yielding of possessions (and people).

Ordinary Awareness: The way we have been taught by our culture to see things; involves labels, traits, analysis.

Opening-up Meditation: See Meditation.

Overt: Something that is visible; you can see it as it happens (as opposed to Covert).

Persona: A term used by Carl Jung, referring to a facade adopted by an individual, to keep from revealing his true nature to others (and to himself).

Positive Reinforcement: See Reinforcement.

Precision Nirvana: A way of thinking and living which enables us to integrate psychological and spiritual self-management techniques from both the East and West to attain a personal vision of excellence drawn from Eastern and Western values and goals.

Premack Principle: Refers to Premack's idea that a High-Probability Behavior can serve as a reinforcement for a Low-Probability Behavior upon which it is made Contingent.
Projection: That which occurs when we attribute our feelings (e.g., anger) to another (e.g., I feel fine, but I think he's angry).

Punishment: A consequence for behavior; decreases the likelihood that that behavior will occur again.

Reactive Effect: Refers to the fact that the very act of observing something, such as our own behavior, may cause that behavior to change. In Meditation this reactive effect seems to make us “stumble”; in Behavioral Self-Observation the reactive effect seems to move the behavior in the desired direction.

Reinforcement: Positive reinforcement refers to a positive event that occurs after a certain behavior, increasing the likelihood that that behavior will occur again (getting a big hug for helping a little old lady across the street). Negative Reinforcement refers to an event that occurs after an unpleasant behavior, and causes the unpleasant behavior to cease. For example, a mother is negatively reinforced for giving her child a bottle when it cries, for the crying stops. The child, however, is being positively reinforced, for its behavior of crying is getting a positive result. Negative reinforcement should not be confused with Punishment.

Repression: A psychoanalytic term referring to when an individual is unwilling to face certain events, and these events are stored in the unconscious. Social learning theorists refer to this as Cognitive Avoidance.

Samadhi: A Hindu term for Illumination; the goal of Yoga practice.

Satori: A Zen term for Enlightenment; seeing into one’s true nature. See Kenho.

Self-modeling: Using images of the self in our mind to set an example for ourselves of how we would like to be acting and feeling.

Self-instructions: Making statements to ourselves which encourage us to feel and act in the way we would like to feel and act. A Behavioral Self-management technique.

Self-observation: A Behavioral Self-management technique that helps us to carefully analyze the relationship between our actions and the environment.

Self-regulation: A term used to describe a variety of different techniques which individuals can learn to use to influence their consciousness and bodily processes.

Self-reinforcement: Reinforcement of a symbolic, material, or verbal nature, which we give to ourselves. See Reinforcement.

Self-statements: Dialogue by oneself, either overt or covert, which refers to the self.

Shikan-taza: A type of meditation in which one “just sits,” focusing on nothing... neither Koan, nor breaths.
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Social Learning Theory: A branch of psychology that puts major emphasis on the ways we learn to behave. (See Behavior Therapy.)

Stimulus Control: Refers to a way of arranging the environment to help us act the way we want to act. For example, if we want to cut down on eating unhealthy foods, we make sure we don't buy any when we go to the market. (See Environmental Planning.)

Successive Approximation: Proceeding toward our goals through accomplishment of a series of successively more complex subgoals.

Sumi-e: Japanese brush-stroke painting.

Systematic Desensitization: See Desensitization.

Tao: Refers to that which cannot be named; beyond words and labels—holistic one.

Target Behavior: The behavior that you choose to work on changing.

Thought Stopping: Deliberately making oneself stop negative thoughts, substituting positive ones; a Behavioral Self-management technique.

Time Out: Calling a halt when things seem to be getting out of hand, and removing oneself (or others) to a place that is quieter; a Behavioral Self-management technique.

Trait Description: A trait is a verbal label that is used to describe an individual’s behavior across a variety of situations. When we use traits to describe behavior, sometimes we inappropriately use traits themselves as explanations for behavior.

Transpersonal Psychology: A school of psychology that deals with the "further" reaches of human growth and development and optimum human functioning. Eastern psychologies are included in this school.

Yoga: Literally a yoke, or discipline; a technique of meditation whereby an individual attempts to bring himself into unity with the one, ultimate reality of the Universe. There are five types of yoga: Gana (path of knowledge); Karma (path of action); Bhakti (path of love); Raja (Royal Path—a synthesis of the other three); and hatha (consisting of complicated physical and psychic exercises).

Zen: A school of Buddhism which teaches that through Meditation (Zazen) one can learn to see one's true self. A Zen Master is one who has achieved a high level of inner freedom through use of the Zen philosophy.