His last known academic lecture April 17, 1978, University of North Texas

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Clare W. Graves

Edited by Said Elias Dawlabani Transcribed by Suzanne Jackson

Editor's Note

On April 17, 1978 University of North Texas professor Don Edward Beck invited Dr. Clare Wray Graves, professor emeritus at Union College (retired) to present his lifelong work to students and faculty at the school's business auditorium where more than 500 attendees had gathered. According to Dr. Beck, this lecture represented the *full and final* iteration of Graves' massive body of work from his distinguished career spanning more than four decades.

This document is а transcription of an audio recording made at the event. The recording itself is available on CD through Dr. Beck's Spiral **Dynamics** Group. In some sections, especially the question-andanswer session the quality of the audio is poor and, in a few cases, completely inaudible. Through many collaborative hours with Dr. Beck before his passing I was



able to reconstruct many unintelligible parts of the recording. In addition, there were some inadvertent errors made by Dr. Graves in reference to certain individuals and to his own work, which were researched and corrected as part of this final transcription.

Said Elias Dawlabani

La Jolla, CA October 23, 2022 Clare W. Graves Lecture April 17, 1978 Edited by Said Elias Dawlabani Transcription by Suzanne Jackson October 17, 2022

Thank you all very much. It is very pleasant to receive a reception of that kind. We have a lot to say; I think I'll get right to work. I should like to begin the address this evening with a terrifying statement about my work for any of you who may have some acquaintance with it. I suspect that most of you who know about my work associate me with what has been published about the nature and management of value systems. Now this is basically correct, but it is a somewhat misleading perception of what my work is all about. It is basically correct because there are, in the literature, publications of mine on values and on management, but it is misleading for 3 reasons.

The publications on values are a derivative of a much larger area of interest. They are a part of my studies of the evolution, over time and in space, of the adult human psychosocial systems. So, to comprehend what I have said about values one must understand the totality out of which the work on values has developed, namely adult human psychosocial systems.

And the second thing is that what has been published under my name is not completed work. It was not completed work at the time that it was published. It is more work in its developmental phase, more preliminary effort than a finished product. Thus, errors have been made, some larger some smaller, but errors were made and I certainly would not say today some of the things I said in earlier publications.

Thirdly, and I'll just say this in a simple statement, what was submitted for publication was not always faithfully put into print by the editors of journals. Therefore, I need to explain how what I shall say tonight relates to what has been published. Now, some of my efforts over the years contain some preliminary conceptualization of adult human psychosocial systems.

Some of the preliminary thought has been retained over the years. Some has been discarded because with time it appeared that it aborted. Some of it has been revised as new data forced reconsideration. So, my earlier publications reflect more the laborious process of seeking to come to terms with some data which I had collected in studies than the ideas which I shall express tonight. Thus, those of you who have had previous

Levels of Existence Conception of Adult Human Behavior

contact with my work may be faced with a bit of a difficult situation. You may find tonight much that is familiar but also some that is quite different from what I said before. The underlying conception of hierarchically ordered emergent psychosocial systems including values has been retained throughout the years but the specifics of my conceptualization have changed and the underlying neurostructural biochemical life problem double helix explanation of their source may be new to most of you. During the years of preliminary publication some of my early sketches and interpretations have been attractive to others, so attractive that some have been stimulated to do research within those preliminary conceptions. Thus, I have been urged to hurry into print or to lecture more about the details of my thinking. I'm grateful for this, but grateful as I am for acceptance of my earlier work, and for the flattering request for more of my thinking, I must state what it has done. This very acceptance, use of, and call for more of my ideas than I was early of the mind to scatter, has caused me to delay until I could find in my mind that my thinking was at least basically conceived. I had to wait until the basic bugs in the conceptualization were worked out lest further publication compound the problems which were developing, as I examined and reexamined my data. But tonight, I am ready and tonight I shall present for the first time in any forum what my data says adult human behavior is all about.

And let me begin by posing the question for you. What is adult psychological development all about? What really does research show it to be? Now there are several answers to this question which appear in the literature and I should like to speak of a few of them, specifically five, to put my words in the proper psychological context.

One of the explanations is that which is promoted by the psychoanalysts and by some religionists. It is an explanation which says, the psychological development is the lifelong task of transforming human perversity into decency. The task of implanting into the person ego structures where id has been. It is the task of transforming human sinfulness into morality.

A second answer sees the problem of psychological development to be quite a different order. It is the conception of B. F. Skinner and the behaviorists, and they see the task of adult psychological development to be two-fold. It is to search through the medium of well controlled experiments for the procedures for the proper way for human beings to live and for the rules that detail how to condition him to live that way.

A third group also sees the process of development to be a search but it is not a search for the proper ways to live and how to teach a person to live that way. It is a search for one's self, for one's unique character as a human being, a search for what one is as a human and for the ways to express that to its fullest potential. This is the point of view of the humanist. A fourth point of view is presented by John Stambaugh, the former president of Stanford University.¹ In words which say the historical cycle of the body politic indicates that man progresses from bondage to spiritual faith, from spiritual faith to freedom, from freedom to abundance, then comes the waning. From abundance to selfishness, from selfishness to apathy, from apathy to dependency, right back into bondage again.

And Radoslav Tsanoff, of Rice University, presents a fifth point of view and his words say that the twilight in which we seem to be moving today is the twilight not before dark but before dawn. That we are reaching the end of the dark days of materialism and that the modern mind without surrendering the tools by which it has achieved mastery of nature will now more fully vindicate its own self recognition and a more human life, individual and social.

Now, a reasonable question is which of these five clearly different points of view is closer to the facts as research shows them? Is it one, the psychoanalytic point of view, two, the behavioristic, three, the humanistic, four, the very pessimistic point of view of Stambaugh, or the much more optimistic one of Radoslav Tsanoff? Well, my answer from my data is quite clear. Tsanoff's hope is much closer to the facts of human development than all the others are. His hope, according to my data, is not a futile hope, it is an overwhelming probability. But why do I say this? Why do I say that Tsanoff's hope more closely represents the nature of human development than all the others do? Well, I say it because the data from my studies has forced me to this conclusion. The data I've gathered from my studies has required me to think of adult human development, including the development of value systems from a point of view not too far away from that which Tsanoff speaks of. I call it the emergent-cyclical, phenomenological-existential, double helix level of existence conception of adult human behavior. And I'm sorry I have to call if that because it is all of that.

This model of adult human psychosocial development derives from research on conceptions of maturity produced by my biologically mature adults. I collected, collated and analyzed conceptions of maturity semiannually for nine years. Each year I had a non-involved group of judges classify the character of the conceptions of maturity. The results of their work showed that 60% of the conceptions over the 9 years, 18 different groups of people, produced relatively pure types of conceptions of maturity. And, it said that these conceptions of maturity fell into two large classes of three subtypes each. There was an express self-conception of maturity, three subtypes of express self-conceptions of maturity. There were three sacrifice self-subtypes.

¹ A search of Stanford University's archives showed no previous president named John Stambaugh. According to C. Cowan, editor of Graves' book, *The Never Ending Quest*, (2005), Graves was likely referring to John E. Stambaugh professor of early Christianity and Greco-Roman religions.

The express self-subtypes were:

- Express self but not at the expense of others
- Express self calculatedly but never so blatantly as to raise another's ire and
- Express self; to hell with others

And there were three sacrifice types:

- Sacrifice self now to the ways of the times in order to get now
- Sacrifice self now to get later
 - and
- Sacrifice self forever to the ways of one's elders.

I then studied, without going into detail how it was done, whether or not these conceptions of maturity changed over time. I had a set up whereby I was able to collect the original conceptions of maturity then put them through some experiences and then see whether or not their conceptions of maturity changed. And, I found that some people did not change their conceptions of maturity, no matter what the experiences were that they had. Some people changed their conception of maturity, but only in a peripheral sense. That is, if a person had a sacrifice self now to get later conception of maturity, as the Judaistic people would think of sacrificing self now in order to get something later, the person might be converted to the Catholic conception of sacrificing self now to get later. Or, might be converted to a Protestant conception of sacrificing self now to get later, but not change centrally. I found also, that some people change centrally. They change from thinking about maturity as an express self way of behaving to a sacrifice self way of behaving, or they thought in terms of changing from a sacrifice self way of behaving to an express self way of behaving.

So, I proceeded to try to figure out, A, if the express self was changing to a sacrifice self and if the sacrifice self was changing to an express self; was there any order in this change, and what I found is this. The express self, to hell with others always changed to sacrifice self now to get later. When the sacrifice self now to get later changed, it always changed to express self calculatedly but never blatantly. When the express self calculatedly but never so blatantly as to raise others' ire changed, it changed to sacrifice self now to the ways of the times in order to get now. When that one changed it always changed back to this one, express self but not at the expense of others. The sacrifice self to the ways of one's elders changed to express self, to hell with others. So, I had data which said that the order of the conceptions in relation to one another is that E1, the express self 1,

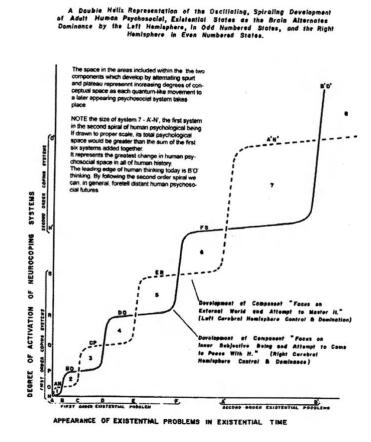
always changes to the sacrifice 1. Sacrifice 1 changes to express self 2, express self 2 to sacrifice 2, and so on. This said to me that peoples' thinking about what is mature adult human behavior changes in an ordered hierarchical fashion, alternating between the idea that one should express self and one should sacrifice self. From this I concluded that the conceptions of maturity, represented in some manner or another, psychosocial conceptions of life and how to live as a human being. They represented, in other words, basic paradigms for human existence. And I concluded that they were hierarchically ordered; that they emerged in the order E1, S1, E2, S2, so on.

When this occurred, I then studied the people whose conceptions fell into each of the types but never changed. Under the assumption, which I think was born out with time, that if a person never changed his or her conception of maturity, that this was a relatively pure type of conception of maturity. So, I observed these people who had each of these conceptions. I studied them in the naturalistic world, in other words I snooped into their lives without their knowing. I watched them wherever they were, whatever they were doing. I'd go to parties and sit and watch how they conducted themselves at parties, etc. and on. I watched them at the dining tables, see what kind of games they played, things of that sort. I administered psychological tests to them, many, many psychological tests. I contrived situations for them to experience and collected from these contrived situations both quantitative and qualitative data. When I started to look at the data you never saw such a godawful mess in your life. It was incredible. It was so confusing, so full of conflict and contradiction, that I had to work from 1961 to 1976 to really make sense out of it. It was just that unbelievably confusing and you shall see why in a few moments.

So, tonight, what I shall do is present formally, for the first time, what I think my studies have taught me about the nature, the development and the management of adult human behavior by starting you off with exhibit 1.

Levels of Existence Conception of Adult Human Behavior

Exhibit 1/Figure 1



What the research that I did says a model of mature psychosocial behavior should represent.

- 1. It says that mature psychosocial behavior should consist of hierarchically ordered, prepotent, upwardly spiraling psychosocial systems, 1, 2, 3, 4, 5, 6 and 7. This is what the data said.
- 2. The data said that these systems must alternate their focus in a cyclic, oscillating, dominant, subordinate fashion.
- 3. The data said the first system should be undifferentiated in respect to focus, that differentiation begins in the second and alternates thereafter between focus upon the inner subjective world and how to come to know and come to peace with it in the even numbered systems 2, 4 and 6 and focus upon the

external world and how to control and expand power over it in each odd numbered system after the third in systems 3, 5, 7, etc.

- 4. Then it said that cerebral dominance in the even numbered systems is by the right hemisphere of the brain. In the odd numbered systems, beginning with the third, cerebral dominance is shown by the left hemisphere of the brain. The data showed that the alternating systems show little mean variation from system to system for some psychological dimensions. That as you move up from certain behavioral systems, 1 to 2, to 3, to 4, to 5, there is essentially no difference in the mean level of intelligence, any way you compute intelligence, from the first system to the second system, to the third system, the fourth system, the fifth, to the sixth and so on.
- 5. And, it said that a human temperament, the mode and manner by which he goes about his business of using his or her abilities, does not change from system to system. Temperament is a characteristic which remains constant in the behavior of the individual over time.
- 6. Then it said that certain psychological dimensions, such as ideological dogmatism, and objectivity emerge with a particular system in the hierarchy of systems. And then decreases or increases systemically in subsequent systems. Dogmatism does not appear in human behavior until the fourth system comes to be. Then, when dogmatism appears as a way of thinking by a human being, in each subsequent system it decreases, goes down. Objectivity appears first in the fifth system. The human being does not show the characteristic of objectivity in thinking until he arrives at the fifth level of human existence.
- 7. And then, in the seventh item here, that certain psychological dimensions, such as guilt, also emerge at a particular point in the hierarchy. People who live life in a first level way, a second level way, a third level way, cannot feel guilt. They do not feel guilt. Guilt develops when man moves into his fourth way of being as a human being. And when it comes in the person feels guilty, then in the next system, the guilt almost disappears, that's in the fifth system. In the sixth system the guilt disappears more again; comes back in again in the 8th system. I haven't rationalized why that is so yet. I have the data; I don't really understand quite why it's so.
- 8. Then the data showed that every other psychosocial system after the first is like, but at the same time, not like its alternating partner. Systems 2, 4 & 6 are all obeisant systems, but each obeys in a different

manner a different master. Systems 3, 5 and 7 are all change systems but how and what to change in each system is different.

- 9. I found that each system has a general thema for existence, they're your thema for existence of each of the systems. That each central thema for existence is particularizable into almost an infinite number of ways for peripheral expression. For example, the fourth level absolutistic sacrifice now to get later theme is particularized into absolutistic, monotheistic religions and absolutistic non-religious ideologies. Oddly enough there is absolutely no difference in this way of thinking between doctrinaire communism and doctrinaire religion. They're both absolutistic systems.
- 10. This next thing I found was that increasing degrees of behavioral freedom come with each of the levels of development. Every step up the person takes, the more that individual is able to exercise choice over his or her behavior. The lower down, the much more the behavior of the individual is determined. The further up the individual goes, the much more the individual is able to exercise choice.
- 11. Then I found a most remarkable thing, that every seventh system shows a degree of change in excess of the sum of all the six previous systems. Every time you get to a seventh system the change in human behavior is almost unbelievable. They change just beyond belief.
- 12. Then I found that adult psychological life is a developing emergent process which can be likened to a symphony built upon six basic themes which repeat in higher order form every set of six. The first six, for example, tell the story of adult psychological development in the world of naturalistic abundance. The second order system tells the story of how psychological development will take place in a world of naturalistic scarcity.
- 13. Then I found that each system develops from the interaction of hierarchically ordered parallel and prepotent sets of existential problems and sets of neurological coping equipment. I found that the first set of problems of a human being are the problems of dealing with the imperative periodic physiological needs of life, the needs such as hunger, thirst, and sex. And what I found was that there is a specific region in the brain, anatomically different, anatomically discernibly different from any other region in the brain which has the specific capacity to sense information in respect to the imperative periodic physiological needs and to make decisions in respect to those imperative periodic physiological needs.

- 14. And I found that the second set of human problems were the B problems of existence and these had to do not with the imperative, periodic physiological needs of life but they had to do with the aperiodic important needs of life; needs like safety and security. And when I started to examine in that direction I found, as I went through the literature and studied this and many other ways, that the B problems of existence were handled by an altogether different system in the brain than the system which handled the A problems of existence. Now, I can take you into a laboratory on this campus today, if the slides are already prepared, and teach you to look at the slides and readily differentiate between the N tissue in the brain and the O tissue in the brain, the first and second level brain tissue. They are structurally different from one another; so structurally different that under a microscope you can readily see the difference. It is apparent to the human eye. Not only are they structurally different but they are functionally different. In other words, we have problems of human existence which appear in a hierarchical order, the problems of life itself, the first order problems; the problems of us making life assured, the second order problems. There is a set of systems in the brain that are there to deal specifically with the problems of the maintenance of life. There are a set of systems in the brain that are there specifically to deal with the problems of safety and security. Now it is interesting to note that my data shows that the only variation from what I said earlier, about no mean difference in intelligence, is that there is a slight mean difference in intelligence in the human being in the first two systems. And, if there are those among you who are apprised of the definition of the lowest level of mental retardation, at least in older terminology where such was defined as idiocy, would you please recall to mind that it was defined as a person who did not have sense enough to avoid the ordinary dangers of life, he didn't have sense enough to take care of his or her security. Saying that in that person, if one did an autopsy, one should find that the only really operant coping system in the brain was the lowest level system of the brain, the O system, and that the P system was not even fully developed in what was called an idiot.
- 15. The fifteenth point of adult psychological development is that it's a flowing process in which the solution of current existential problems creates the next set of existential problems to be solved. And in their creation activates the next set of neuropsychological coping equipment. Apparently, we are so constituted that our very existence as a human being creates problems of existence A for us, which require the activation of neurological equipment N. And those interact to produce the first level of human existence, the first way of thinking and being as a human being. Then as we live our AN way of life, we may live it in such a manner that we begin to endanger our very life. We begin to produce problems of the second order. When we begin to produce problems of the second order, those problems begin to activate the production in the brain of the human being of its capacity to produce organic chemicals in the system. And when that new set of organic chemicals is produced, they begin

Levels of Existence Conception of Adult Human Behavior

the activation of the next level neurological system. And when the chemicals reach a certain critical level, they throw open the totality of the next level of the brain, and the individual begins to think in an entirely different manner and be a different human being from what he was before.

16. The sixteenth one is that the process moves in a complex wavelike progressive noble regressive fashion. Each wave develops slowly to the point of inflection then rapidly ascends to its normal form, then begins a slow descent to the point of deflection where a precipitous fall ensues as the next wave starts to develop. Now the first aspects of this way of thinking we have diagrammed for you in this Figure 1. There you have a diagram which represents the development of the adult psychosocial systems of human behavior, and the space within the spiraling helix indicates the degree of freedom of psychological thinking, the amount of psycho conceptual space within which the individual, who is centralized in the system, can think about any problem. So, a person down in the AN system has very few degrees of thinking behavioral freedom; the person who is locked in to behaving in a very, very limited fashion. The person who thinks in the BO fashion has more degrees; he can think in quite a different way. The person who thinks in the CP fashion has still other degrees. The person who thinks in the DQ fashion has still other and so on up to the seventh, where we show that the seventh system has more psychological space, more capacity to solve problems than all the other six systems put together. You add up the sum of the area of each of the first six systems you will find that that is less than the sum of seven. Indicating that when the human being arrives as the seventh level of human existence, he begins to think in a manner that is almost unbelievably different from a manner than he has ever thought of before. Now, let me take this and get it out of the abstract for a moment. You know, I know, we are approaching a period in time when humanity is in great danger. We have serious overpopulation; we are running out of resources of many kinds. We are running into very great difficulty. What this point of view says is the ways man has lived so far in his existence have produced such severe problems for him that in order for him deal with the problems that are now facing him, that there must be activated in his brain an incredible amount of tissue in the brain, that is there but is latent, and has not been used up to this period of time. And that if this does become activated we have no reason whatsoever to fear what is going to happen in the future. We have every reason to feel that things are going to get better for us.

Now, if you look at the second figure, what this figure says to you is that homo sapiens, the biological human being, has not changed in the course of his existence on this planet. Homo sapiens came into being somewhere around 100,000 years ago. We have no evidence, whatsoever, that the homosapien who was born this morning is generally any different than the homosapien that was born 100,000 years ago. So, we are but one biological

organism, but we have evidence that seven times in our history we have started to think differently as a human being.

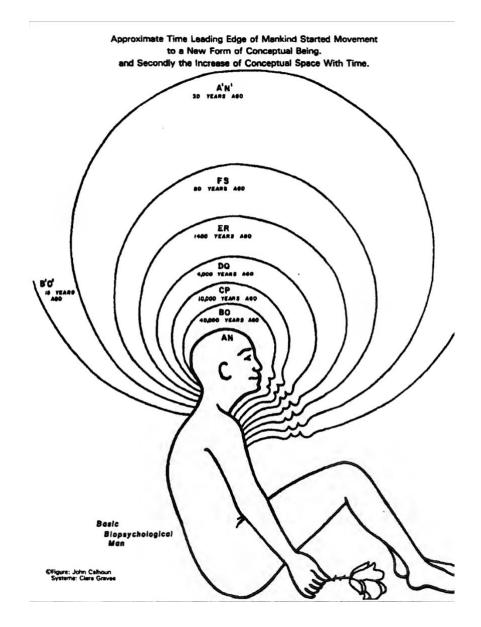


Figure 2.

We are one biological being; we are an infinite number of psychological beings. We can go on proliferating into new and newer and newer forms of psychological being for the remainder of our time on this earth and then,

if things continue as they have always continued, when our time runs out there will be a mutation and human beings will go on at a level which is beyond that, that anything that homosapiens ever come to be.

Now, this shows you how this has occurred over time. Up until 40,000 years ago all mankind thought in the AN way, and I'll describe that for you in just a moment and close off this half of it. About 40,000 years ago something happened that changed markedly the conditions of human existence in which human beings were living. Whatever that was, it produced enormous problems for the human being so far as survival was concerned. In order to survive it was necessary for there to become activated in the brain of man, up to that point of time, the latent B system, the system that had been structurally present but never used. About 10,000 years ago, again, something happened. And when it happened, lo and behold, a third, previously inactive system in the brain was activated. And we started to think and behave, in what I shall describe for you in a few moments, as the CP way of thinking.

About 4,000 years ago we started to think, in what I call here, a DQ fashion. Non one had ever thought that way before. Suddenly man started, the human being started to think that way. About 1400 years ago he started to think in a fifth way. About 80 years ago he started to think in a sixth way. And so we have quite a number of people around today who think in the sixth level fashion. About 30 years ago a number of people started to think in a seventh level fashion. What are these organisms like? How do they think as human beings? Well, let's take a look at it.

I. First subsistence level of human behavior; this is what I call the AN or the Autistic state of human existence, meaning that the human who lives at this level thinks in a need satisfying, wish fulfillment manner. This person lives as a herd, a herd of twelve to fifteen human beings in a group. He lives an automatic, reflexological existence in which he does not see himself different from any other animal, as different from any other human being, as different from any other object. The individual operating at this level may perceive himself to be a stone one day. He may perceive himself to be a stick another day. He may perceive himself to be nothing at all another day. They have no true awareness of themselves as different from others but they will now and then perceive themselves as a little different. They live a naturalistic existence. People who live at this level of existence do not build homes. They live in some cave crawled into, some depression crawled into or the like. They have no concept of space, no concept of time. They have not yet begun to think of there being any such thing as a god or as gods. They are motivated by the tension of their imperative periodic physiological needs. They make no organized planned work effort. They show no concept of leadership. The only time they expend effort is in response to immediate need or desire. There's no formal organization or management of people who operate at this level. They have a physiological

need base concept of time, space and materiality, but these are very limited. Now all human beings lived this way some 40,000 years ago, according to my data. But the interesting thing is there are some human beings alive, thriving on the surface of the globe today, who think in this fashion. I refer you to, for example, the Tasaday of the island of Mindanao in the Philippine archipelago. These people operate this way today. They live in caves, they just move in. They don't have any concept of leadership. They don't have any concept of time. They have no concept of space other than the immediate little region in which they live. They don't know over the hill or over yonder or down the river or down the stream or anything of that sort. They have no concept of that nature. They live through the automatic equipment of the N neurological system; which is specifically attuned to processing the imperative physiological need. They learn by a process known as habituation. This is a process where the person learns to shut off stimulation. When he gets enough, he stops and he learns to shut off. That's the process of habituation.

II. Now, the second level of human existence is quite a different kind of human being. At the second level of human existence, or the B or animistic existential state; this is a state produced when the B problems, that is safety and security and assurance problems, activate the second or the O neurological system that is specifically attuned to picking up, transmitting and dealing with conditions which threaten one's existence. The person at this level thinks animisticly. He thinks in terms of an indwelling spirit of life in all things animate or inanimate. He thinks of the transmutation of self to other animals, to other objects, and the transmutation of other objects and animals to self. He thinks in terms of stones and earthquakes and floods and the like all having vital spirits. The stone did it to me. The earthquake hurt me. Why mama, did that stick slap me? Why did that dog snap at me? They think that there are answers to those things. These people live a tribal way of life which is believed to be inherent and unchanging and unalterable in the nature of things. They never question their way of existence. This is the way one lives; that is all there is to it. You never raise any questions about it. You just live this way, the way the tribal elders have taught you to live, never in any way whatsoever changing. They have a Great Spirit poorly defined concept of why things are as they are. They have a moderately increased degree of awareness in comparison to people at the first level and so they are aware of the fact that things do happen to them that help them or hurt them, that harm them or do not harm them. And so, they try to propitiate the spirits through various rituals which they develop to continue the things that do them good and to get the spirits to bring a halt to the things that do them harm. Their dominant motives arise from a periodic physiological need such as safety, security, temperature control and the like. They learn not by

the process of habituation, but they learn by Pavlovian conditioning. That is conditioning which takes place without conscious awareness or intent by the sheer association of things in time and in place. They tend to fixate and hold tremendously to a totem and taboo way of life and work forever as if they were entirely restricted in their degrees of freedom by the particular taboos that are present in the world in which they are a part.

III. Now the third system is a very, very different system. This state arises when the accumulating problems from living an unchanging, elder dominated, shaman control way of life, produces survival problems for those whose capacities enable them to perceive threat to the existence of their self if the old ways don't change. People who begin to think in the CP fashion are ones who are, for the first time in existence, becoming consciously aware of the fact that they are alive as human beings. They know they are alive; they know they live. Conscious awareness is a characteristic which comes into being in the third system of human development. It is not there prior to that period of time. Now these people think in a totally self-centered, egocentric fashion. They think in terms of self receiving or self being deprived, in terms of controlling or being controlled. In terms of intentions to assure and efforts to ensure receiving by the self, every act that they perform has as its intention, taking care of me. They don't give a damn about anyone else. They live by to hell with others. It is I who is important. They struggle to gain their own satisfactions by snaring, entrapping activities. They try to avoid being caught while taking advantage of others. They show stubborn resistiveness to power exercised by others, but obeisance to others when they try to avoid being caught while taking advantage of others. They show resistiveness to power exercised by others but obeisance to others when they are afraid. They are a dominant submission system. A person top in the hierarchy runs the show and the next person down bows to the top, but the third person bows to that one and so you go right down the line. The third person shows the tendency to try to make the fourth submit but the third always submits to the second. They show a dominant submissive type of psychology. Inwardly, they are a cauldron of strong, negative, emotional feelings such as shame, rage, disgust, grief, but they have no capacity whatsoever to feel guilt. A person operating in the third level of human existence or any level below that cannot feel guilt. He has no capacity to feel it. You have to arrive at the fourth level of human existence for the capacity to feel guilt to develop. This person at this level revels in hedonistic, pleasure-seeking pursuits to the degree of indulging quite regularly in orgies. They show a strong emotional reactivity to the actions of others as pleasing or not pleasing to the selfish desires. They just smother you when you do something that pleases their selfish desires and in the next moment, they'll just turn on you and pulverize you when you do something which does not satisfy them.

The person in the third system lives a peculiar two-fold aim in life. It is to win, or at least go down in the glory of having tried. Or, as they put it, over and over again, "Well, I may die, but by God, they'll remember me. I will go down in the mouths of men as having been somebody." They spawned the first form of management, the first organized form of management that you find in human behavior, and it is an exploitative form of management and these people are manageable only through Skinnerian, operant conditioning principles, that is you can manage them by manipulating rewards but you're absolutely hopeless if you try to manage them by punishment. To put a person who operates in the third level in prison with the expectation that somehow or another he will learn from that experience to alter his behavior is, in my judgment, the most hopeless thing in the world you can do. You'll never get a person who operates at the third level to change his behavior by punishment. He basically can't feel it. He does not feel or comprehend punishment. Or putting it another way, the neurological systems in the human organism that have the capacity to feel punishment are not activated in a person who operates at the CP level. The first two systems are almost impossible to assess through any kind of verbal means. You try to use a questionnaire and find out how a person at the first level thinks, you're not going to get anywhere. If you try to assess a person at the second level and find how he or she thinks about things, it's almost impossible. And it is very difficult at the third level, but it is possible. And you ask them, what do they think about police, and you give them a sheet of paper. "Shoot every goddamn one of them!" And, they'll write it all the way across the paper. "What do you think about love?" "Yeah man, more of it, let's have more." You get that sort of thing out of them. And they write that, "Yeah man." That's about the only kind of verbal expression you can get from it, either all and none, hating whatever it is that you ask them about or all or none taking it in. And when they write it, using up every bit of space you provide them with to write it.

IV. Now the fourth system, this state arises when the problems from living the previous way begin to produce unbelievable problems of existence for people. If people start to live in a purely hedonistic fashion sooner or later there's going to be an awful lot of clashing going on. And so, this level develops out of that problem. Now the person at the fourth level thinks in an absolutistic, one right, all others wrong, black and white, good or bad, all or none categorical fashion. A person at this level believes in the formation of absolute rules and their necessity for control of the impulses of mankind. They do show the capacity, which is not present in the previous system, of true two-way interpersonal relations developing. They begin to show the capacity for other people but, the way they show it is that they give a great deal of attention to the person if what the other

person does is what is considered to be right, and they just ostracize or shun or shunt aside the person who they consider the individual to be doing wrong. They assume a right and wrong position in respect to everything and they assume an either-or conception of knowledge. They see weakness in any person who takes a position and then changes it. They think in terms of receiving and giving, but always in the long run, in terms of receiving. They think one ought to sacrifice now, that is give now. But it is always giving now in order to get reward later. But they also think in terms of punishment right now and ever after for wrong doing, unless one repents. They think in terms of tenderness, of giving, of living, but only if you live by the authoritarian rules that the person prescribes. They feel guilt for possessing forbidden desires and they believe in atonement for guilt. They are ones who struggle to free themselves from the feeling of guilt. They believe in living in a world in which one person acts and the other person judges. And they live a very highly moralistic, prescriptive life.

V. Now the fifth level is again, a quite a different system. They don't think in an absolutistic fashion. They think in what we call a multiplistic fashion, meaning they accept that there are many ways of doing something. They don't think like the previous group that says there is only a right way to think about something and a wrong way to think about something. These people say there are many ways to think about something but there is one best way. They accept that other ways do exist but one of them is better than all the others. The person at this level has moved beyond giving and receiving to objective viewing of self, of activity around self and of one's own activities. He believes it is right to receive because guilt over receiving has been worked through. A person operating at the fifth level has no compunction whatsoever about taking whatever he can get. He doesn't feel it is guilty to sit at a supper table and take more from a little kid or not if the kid can be inveigled into giving up what he's got, well fine, go ahead and do it. A person at the fifth level sees all life as a game and that the big task in the game is to figure out how to circumvent the rules in order to win. This person very frequently shows actions which are perceived by others as hostile. That is, if you saw this person in operation you would say, "My God, how can a person behave in such a hostile fashion?" And, you go up to this person and say, "How can you behave that way? How can you be so mean?" "I'm not mean. I don't have a mean bone in my body. Never did a mean thing in my life." And yet you can sit there and see that, "God they're hurting these other people." That person has no capacity whatsoever to perceive that he or she is hurting that other person. They see life as an experience in which one should disassociate oneself from others, one should go it alone. It is important for one to stand on one's own feet. It is important that one not be dependent. It is important that one evidence his independence, his

ability to think on his own. So, they think in terms of struggling out from under others or in terms of struggling to free self from others. They think in terms of struggling to free self from restriction but not from what we call ego encroachment. They never yell about you're taking away my identity, or something of that sort. They just say get off my back, I don't want you trying to tell me what to do.

- VI. Now the sixth level is still a different level. In the sixth level the person's struggle for individuality is over. One's own and others individuality is recognized. When the person begins to think this way, the person is free from the struggle for life, free of the struggle for ego, for control, free from the struggle for ego definition, free of struggling to help others, free of the struggle for freedom, free from guilt, free of having to develop feelings for others. This person is much more affectively warm than any of the other systems that we have. They exude warmth for other human beings. And they extend a tremendous capacity to extend the right of the other person's full expression to that other person. They just wouldn't think of moving in on another person and in any way suggesting how that person should think or believe or behave. They see the world situationistically. They see it relativistically. They talk about how important it is to have community, how important it is for there to be intimacy among people, how important it is that there be involvement, how important it is that people share experience. But if you observe them behaviorally, they show an amazing inability to commit themselves to doing for other people. They're still very much interested in themselves but they are talking very, almost glibly, about the need to share with others, the need to be with others, the need to get along with, and one of the things which is most characteristic about them is, and we see a great deal of this today, their inability to articulate. "Hey man, yeah man that's it, we're with it boy, we really got it, you got the feel man?" What the hell are they talking about? They cannot express in an articulate manner what their feelings are.
- VII. And now just a little bit about the seventh system. This is the most difficult system of all to comprehend. It's a system that has emerged only in recent years in the behavior of people. And the two things that characterize it above anything else is that the compulsiveness in human living has disappeared and fear in human living has disappeared. Now when I say fear has disappeared. I don't mean they don't have anxieties, but they don't have fear. They're not afraid of life or of what will happen. They're not afraid of death. They're not afraid of God. They're not afraid of the boss or anything of that sort. But they do have anxiousness about their kids, about whether or not that those they care for will be hurt or something of that nature, but they don't have fear. What you find in these people who operate at this level is that

they are human beings who have ambition but are not ambitious. Now I don't know whether you'll follow me here or not but see if you can get a feel for it. They're people who have strong concerns but don't give a damn and yet will work like hell to help. They are people who have a very strong feeling of care for other human beings but the last thing they want you to do in any at all is to reciprocate. For example, a person who operates at this level simply cannot abide compliments. Oh, they will accept them but when they accept them, they say under their breath, "Oh God I don't want that. I don't live to get complimented. I have no such desire for that kind of experience." It's a very different view of life. The world is seen by them as a world which is one great big system, and that unless you attend to each and every part, you're just going to be in real trouble. There is no room in this person's thinking for selfishness as you think about it. They think of being there to help and helping, if help is desired, but they never think in terms of helping to try to straighten a person out, or to try to shape a person up, or to try to control a person, or to try to provide for a person. They see life in terms of life continuing hereafter but they have no concern with a hereafter whatsoever, but they are terribly concerned about the fact that life must continue to exist hereafter. And when they talk about life, they don't mean human life, they mean all life. But they don't have any concern for a concept of a hereafter at all. They accept that the one thing you can be sure of about life is that it's a problem. That's all there is to life. It's a bunch of problems and there's no other way to live it.

Now these are the seven systems of human behavior that have developed over time. The other diagrams that you have before you are simply ways of illustrating these things which I have been saying to you. What they indicate is this; they indicate that there is no such thing as a mature human being. There are only ways of manifesting what one thinks is maturity. And just as soon as one thinks that there is a way of behaving as a mature human being, lo and behold, he will change and begin to behave in a different way. And that is what human life is all about - according to my data- life is a continuous process of developing a way of life, finding that that way of life produces problems, activating new brain systems to deal with that set of problems, developing, once the new brain system is activated, a new way of life, and that goes on ad infinitum. So, in this point of view there is no such thing as fulfillment of self. There's no such thing as the right way for a human being to live; there are only ways that human beings live, depending upon the conditions of existence in which they happen to be and the character of the human brain with which they are possessed.

Thank you, we'll take a little break now and then I'll be glad to answer any questions I can for you.

The chair will now entertain questions. Yes sir.

Question 1

Could you please explain to me how these things you wrote on the chalkboard relate to the systems you're talking about in your lecture?

Answer 1

The basic data which I collected was conceptions of maturity and, from that data, I learned that the conceptions of maturity developed in a hierarchical fashion. When I started to examine the conceptions of maturity, I got the idea that what I was dealing with was adult human psychosocial systems, with conception of maturity just being one of the systems. And so, it is the base data out of which the whole thing developed, the base data.

Question 2

Dr. Graves, are there or will there be levels of existence beyond that which you've conceived?

Answer 2

If you'll turn to the, I think it's number 4, no, it isn't number 4, its number 3. Now number 3 says that the emergent cyclical, double helix develops from the interactive resultant of a complex of two sets of determining forces. The socio-environmental determines the problems of living of the species, that is A, B, C, D, E and F, and so on. And the neuropsychological equipment, that's N, O, P, Q, R and S. Now it says down below, the life problems are organized, let's see, it's the end of part 5. The life problems, the neuropsychological equipment and the levels of existence are organized into subsistence level problems and subsistence level equipment. The human being has the first six sets of problems that must be solved in the course of existence. As the human being solves the first six sets of problems, he ends up threatening his very existence as a human being, the very state that we are in on this earth today. That activates the higher order systems in the brain; which come from

a combination of the basic coping systems, N, O, P, Q, R and S, with what are uncommitted cells in the brain. When the human brain is laid down, some of the cells are there to hear with, some of them are there to interpret vision, some of the cells are there to conduct speech, etc. and on; but most of the cells are uncommitted. They are not ones that are supposed to do any particular thing. When the problems of human life become so severe that we begin to threaten our very existence, we have to shift gears, so to speak, to a higher level of operation. So, the A Prime N Prime system, the seventh level system, is the first system of the second spiral of existence. The brain is such a complex organ; let me just speak briefly of its complexity. The brain as an organ has in it, something of the order of eleven or twelve billion cells and those eleven or twelve billion cells, each one of those eleven or twelve billion cells, is capable of ten thousand intercommunications with every other cell. So, the complexity of the brain is eleven or twelve billion, ten thousand times over. Now what I am saying here is that in this first little spiral of existence down here, that man has passed through and is almost reaching the end of, he has used very few of those cells. So, he will move eventually to the third level of human existence. Then, to the second system, the second spiral of human existence. Then he will move to a third spiral of human existence until such a time as all of these cells are used. Then if man is to continue in his existence he will have to mutate, as man has always historically mutated, to having a brain of a higher order of complexity and then it will go on but there'll be a different species of man. This is how I see things.

Question 3

Unintelligible

Answer 3

Yes

Question 4

Unintelligible...the DQ level, is it things like some of the Egyptian Dynasties?

Answer 4

No, the DQ level is that period in time when man first began to think monotheistically the idea that you could explain things in a monotheistic fashion rose in man for the first time about 4,000 years ago. And then between about 4,000 years ago and 700 A.D., a relatively short period of time in the entire span of the human existence and the 100,000 years of homosapiens' existence, all of the monotheistic religions which exist came into being.

So that is what changed there. What changed as man moved from the DQ level to the ER level was primarily two things; one, beginning to think objectively and thinking in a hypothetical deductive fashion. Man had never thought either objectively or in a hypothetical deductive fashion before about 1300 years ago. And from 10,000 years ago to where the CP system came in, what happened was consciousness. Man became aware of the fact that he was alive as a human being. Whatever consciousness is was activated in human beings about 10,000 years ago. The first two levels of human existence are not aware that they live as a human being. They feel pain, they feel harm to them but they are not consciously aware. The first level of human existence doesn't even know that I'm anything other than, just another animal, I'm just another animal in the forest.

Question 5

What came on 80 years ago?

Answer 5

80 years ago, very simple. It was about 80 years ago that a group of scientists by the name of Niels Bohr and Albert Einstein, etc., said you can't explain things by Newtonian physics anymore you have to begin to use the idea of relativity. The concept of relativity appeared 80 years ago and it was never in existence before that time. So that's what happened then. And about 30 years ago what you're talking about is, what you hear so much of today, systemic thinking. The idea that there were systems of behavior was the prime idea that developed 30 years ago, right after WWII.

Question 6

There is the development of the first brain tissue as system N, then the rest of the systems are the donut-like structures

Answer 6

It is first of all a function of the, if I may use a term which I hope is not misunderstood, how the brains were passed out in the lottery of life. That's the first thing. President Carter said a while back there is nothing fair in human existence. And one of the things that is most unfair is that there is no guarantee whatsoever that you're ever gonna get your share of the brains. So, in the lottery of life some people get only the A system. All that they have in their brain is the A system. You open up the brain and you do an autopsy, not the A system, the N system. You open up the brain and all you'll find is N tissue. There's no other tissue. Now some people have both N and O tissue in the brain. Some people have N and O and P tissue. But there's no guarantee when a sperm and an ovum are united to form an individual that that's going to result in producing all of the kinds of tissue that can exist in a human being.

Question 7

A person who has all these brain tissue systems, is there a guarantee that he will function at level 7?

Answer 7

No, not at all. All that does is provide the capacity with which the individual could function if the conditions of existence ever brought about the function. Very few people in this world thought in a seventh level fashion until about 30 years ago. Yet most of the human beings in this world have the seventh level system as a structural system in the brain. Now let me elaborate upon this. I don't know how much you people are acquainted with this but see, neuro functioning is a resultant of two things, structure and chemistry. One gets the structures of the brain by the histological development of the fetus and the development of the newborn child up to about ten months of age. At ten months of age all of the kinds of tissue that are going to exist in the human being are there. They are differentiated out and you have every possible kind of human tissue that you can have. But that tissue is just there, it's just in the head, it's just taking up space. Now that tissue has to be activated. I use this analogy in the classroom. We have a system of lights in this room. Now if these lights were off, you would still have the structures for the light present, but you don't have that which activates them, namely turning on the switch. And, unless the proper chemistry develops in, as a result of the life's experiences of the person, you do not have the higher-level tissues activated. And so, the person carries around the potential for operating at a higher level but not the functional capacity for operating at the higher level, unless the chemistry is also there. So, you have to have both chemistry and structure in order for neurological tissue to operate.

Question 8

I don't know if I'm understanding this clearly. I'm not sure. It's a pretty dark place determined with relationship, learning and with neurophysiological questions in all instances. It sounds to me pretty deterministic. It sounds to me that these are things within the hidden ego.

Answer 8

It is determined that life shall be indetermined is the answer. The very nature and structure of the human organism determines that his behavior shall be indeterminate. That's precisely what I'm talking about here, is that at the lower levels of human existence, the individual's behavior is highly determined. That's what I mentioned when I said freedom of choice; the degrees of behavioral freedom change as you move up the levels of human existence. The more and more one moves up the levels of human existence the less and less determined, in the physical sense, becomes the behavior of the human being.

Question 9

Are you talking about the individual now, or a culture of people, of race or ...?

Answer 9

This is the one theory I know of in operation today which explains the psychological development of the species, the psychological development of a culture and the psychological development of an individual all through this one basic set of concepts, all three, all three at one time.

Question 10

Dr Graves, as I understand it in this helix, can this operate on a short-term basis, does it operate in different areas, does it move back and forth in various situations?

Answer 10

Yes, there is movement back and forth, as the conditions which make for the production of the chemicals come close to producing the critical amount. And so, you get the individual moving up close to taking on the thinking of another level. But then, the very crucial conditions that are necessary to push the person over into fully activating that system don't come to be, and he drops back and you have to move up again, move up again.

Response to Answer 10

In relation to that, is it a rest period such as night, how you sleep, how you move?

Answer to Response 10

No, movement doesn't have anything to do with that. What it has to do with is the resolution and the creation of problems of living. As one resolves the problems of living with which he is now confronted, he begins to create new problems of existence. Living a certain way by its very nature, produces problems of existence. As you live the ER way, which is the highly materialistic way that so many people in this society lives now, you produce the problems of scarcity of material things. And that's a new problem of existence you have to deal with. Now as those new problems are produced, they in turn, are that which produces the chemical changes in the organism which activate the next higher neurological system. But in order to get that next higher neurological system fully activated, you have to have a certain critical amount of that chemical in the system. And this is very hard to come by unless the problems remain constant. Now the closest illustration I can give to you of this is, over four or five years ago we had an energy crisis. We got awfully close and we saw in the behavior of many people, beginning to think in a seventh level way about the use of energy in this country. And they started to truly conserve. You had people, a tremendous number in this country who were doing an honest to god job of conserving. Conditions changed; they got the idea that they had been taken in, that there wasn't really an energy crisis, and went back. They never quite got over the critical point and so they reverted back to thinking in the materialistic way about energy again. You'll find that bouncing back and forth.

Question 11

Ideologically, there's no change that best performs in the brain that helps you go from one crisis to another to change.

Answer 11 Not that I know of. No, not that I know of.

Question 12

You seem to be talking about how the environment has a lot to do with this.

Answer 12

What I am saying is that environment and organismic structure is involved in every system. That there is no such thing as heredity or environment, no such thing as the social and the organismic; they're one in the same. But, they're always both involved in everything. I don't know whether that's a full answer. If it isn't, please speak further and I'll work on it.

Participant continues

Ok... is there a plan, so to speak? Is there some way you could bring them out where they could be more independent in their own life?

CWG

You can set up the conditions of existence which would make it possible for a person to move but you cannot make the person move.

Participant continues

Right, well... what I'm talking more about is behaviorism as I've been trying to condition them either verbally or the actual physical environment, seems like...

CWG

No. No, you see if the person doesn't have activated in the brain the system with which to think in the way that you're trying to condition the person to think, what have you got there to build on? You don't have anything to build on. Now I see no evidence, whatsoever, that either the self can bootstrap the self of the levels of existence, nor do I see any evidence, whatsoever, that anyone can move anyone else up the levels of human existence. One can provide conditions in which it may occur that the individual will move, but you cannot guarantee that the person will. And may I be just a little bit philosophical about this for a moment. Thank God. I shudder to think of the day that I am proven wrong in that respect. Because the minute I am proven wrong in that respect, you can manipulate a human being into anything you want and I don't think that's going to be a very good world for any of us. Now I hope that whatever the mystery of life is it always remains a mystery and we never solve how to move the person. Hoping that we always know that it may be possible to move a person so we should keep striving but that you cannot affect him, you can only try to help, try to help the process.

OK

Question 13

Are you saying that within our society as we live, this is not the case?

Answer 13

Can you see this here, what I'm putting on the board? I said tonight that each system is superordinate over other systems. What I meant was, the first system develops. When the second system develops it develops and includes the first system in it. Then the third system develops and it includes the second system in it. By the time you get up to the fourth level, in the total system of the human's behavior, this system is very small. It's infinitesimal and you would hardly notice it at all in the person's behavior but it is there. And, given the right conditions, it will out.

Participant Reply to Answer 13

I was trying to understand about people that live, almost in this clannish atmosphere within the United States, within the family, within absolutistic or egotistic systems, being very clannish within their own family. But are you saying they don't exist in the tribalistic stage?

No. Get in the car with me. Go down, or is it rather, I gotta go up to Arkansas. You go up to Arkansas, I'll find you all kinds of them. Let's go over into Kentucky. I can find you Kentuckians all over the place that think in a tribalistic fashion.

Participant: Dr. Graves, if the Arkansas stuff is published in your forth coming book, I'll study that and will reproduce your research, I'll really wait for that.

So am I. Just let me be perfectly open with you. When I started, I was in good health. I've had five heart attacks, open heart surgery, I'm, I'm trying. It's been a little rough (laughing).

Question 14

Dr. Graves, you conveyed that the chemical reaction that you explained takes place in the brain. Are you articulating this through the chemical implant theory and that you can induce movement that way?

Answer 14

There is evidence that one can temporarily induce movement in the direction of the system above the one in which the individual is operating by certain chemical injections. We do not know how to hold a person at that level of behavior once it is manifested that the artificially induced chemistry has started the activation. We don't know how to hold it. I can, I was talking this afternoon, I can take a person who thinks in an egocentric fashion, who can learn through the operant conditioning system and devise a maze, so that the person can learn that maze, by pushing buttons which, when they are pushed, provide him with a reward. Or I can set up the learning of the same maze so that the person can get through it by punishment. Now if I take a person who thinks in the egocentric fashion and put that person in working on that maze, one can have the person in the midst of learning the maze and see that he is making, or she is making all kinds of progress learning the maze by the reward method and making all kinds of errors as he goes through the punishment side, that he doesn't do any learning. In the midst of doing this experiment I inject adrenaline, epinephrine, into the system of the individual, and immediately that person will begin to learn by punishment. As that person begins to learn by punishment, he will be quite successful by learning by punishment until the epinephrine runs off, as soon as it wears off, and he reverts right back and can learn only by reward; he can't learn by punishment. He can't hold it. We just don't know how to do it. Those are studies of Schachter and Latane if anyone is interested.

Yes, the gentleman up here, the fourth or fifth row.

Question 15

Are there any practical applications to this theory?

Answer 15

Yes. Let us comment first of all by saying this. I do not see one of the practical applications to be either raising the level of existence of a person, or raising the level of existence of a society or raising the level of existence of a group. I do not see that as a practical application. What I see as one of the major practical applications is organizing education so that the person is taught through the principles and by the methods of the system at which the individual is operating. So, if the person thinks in an egocentric fashion, then teach that person by B. F. Skinner's operant conditioning reward psychology. Do not try to teach that person by avoidant learning. Organize in that manner so that you have DQs in the classroom, that is level fours, absolutists, and they are taught by people who know the rules for teaching people at that level. And have the people who think in the multiplistic fashion be taught by people who know the rules for teaching at that level. Now you can take the same content, absolute same content, and you can teach it in a DQ way, you can teach it in an ER way, an FS way. That's one kind of application.

The second kind of application is in the selection of people who shall be managers in an organization. Another kind of application is one in which, related to the one I just mentioned, in selection you see to it that the supervisee is paired with a supervisor, whose psychology is congruent with the supervised. Those are the basic kinds of application that I see developing out of something of this nature. All that you do is you take the same work that has to be done and you reorganize it. I've taken organizations that had in them three different managers; they wanted to run their operation in three different ways. And they had the people who were working in the organization assigned to the position in the organization on the basis of who was needed at the time that they applied for a job. Did they have an opening in department A, or did they have an opening in department B, or an opening in department C. And so they just put the person into a department on the basis of a lottery of that kind. And I have seen in that set up, a person as a manager be imminently successful with some of the A people. Terribly unsuccessful with some of the A people. I have seen another manager be terribly successful with some of the B people and terribly unsuccessful with others of the B people. When I started looking at the people, I found that the ones that the A person was successful with were the ones that the B were unsuccessful with.

Well, it's a very simple transfer problem. They're doing the same job; they have the same basic skills. Transfer the people who are unsuccessful in working under this supervisor, to these supervisory methods, to the situation where they are successful in the supervisory method. You don't have to change your organization very much. It would be wonderful for the efficiency of education, if, when a child is enrolled in school, we ascertained how he thought about the various things, and shifted that person into a classroom where the teacher was in sympathy with that way of thinking. And if the child's way of thinking changed, that we had a system whereby the child could very easily slide out of the classroom he or she was in into another classroom. Now that works magnificently in terms of teaching, but we run into a very great problem with it. The minute you put people in a classroom on the basis of how they think, someone gets the idea that you are segregating people and calls you undemocratic; and I've been thrown out of high school for being undemocratic.

Question 16

Have you conducted studies where you assigned types of students to types of teachers. Can you assess the predictive interactions that you can see the increase in educational differences?

Answer 16

I have not done that particular design myself. I am not the only person

28

END of lecture