AN EXPLORATION OF RELATIONSHIPS BETWEEN AND AMONG EMPATHY, TRUST AND EGO STAGE DEVELOPMENT IN THE ADULT LEARNER

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AN EXPLORATION OF RELATIONSHIPS BETWEEN AND AMONG EMPATHY, TRUST AND EGO STAGE DEVELOPMENT IN THE ADULT LEARNER

By

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The primary emphasis of this research was on an analysis of relationships between the personality factors of empathy and trust in adults. The second emphasis was on exploration of relationships between these factors, separately or in combination, and the "epigenetic growth and resolution of psychological crises" depicting an overview of the ego stage development of adult learners.

Specifically, two questions were investigated: (1) Are empathy and trust correlated positively or not? (2) What, if any significant correlation exists between the "epigenetic growth and resolution" score and (a) empathy, (b) trust, and (c) empathy and trust in combination?

Through an extensive review of the literature of empathy and trust it was found that theorists Sullivan and Erikson attributed development of these personality factors to experiences of interpersonal relationships during the

earliest ego stage. This exploratory study was designed and hypotheses developed to investigate the relationships between these variables as they existed in a sample population of adult students.

Empathy, delimited to the component of affective sensitivity, which is the ability to detect and describe the immediate affective state of another, was seen as an extremely important factor in relating to others all through life. Empathy, with implications of interaction in the sharing, interpersonal relationships of living and learning, is an important factor in education of adults. The measure used for this variable was Campbell's "Scale to Measure Affective Sensitivity (Empathy)," which calls for the subject's perceiving clients' immediate affective state while viewing videotaped client-counselor scenes.

Trust was viewed as interpersonal trust, defined as an expectancy that another individual or group can be relied upon, and was seen as basic to accurate communication and interpersonal transactional learning relationships. Any change of personality and/or behavior implies the need for trust of self and trust of others. The Rotter "Interpersonal Trust Scale," the instrument utilized to measure trust, calls for responses in a noncompetitive way to a wide variety of social objects within the subject's experience.

The "epigenetic growth and resolution of psychological crises" depicting the ego stage development of the adult learner was measured by the Boyd "Self Description Questionnaire" which was designed to gather data on an individual's perception of his behavior patterns.

The sample consisted of 330 adults, 199 male and 131 female, between 17 and 48 years of age, enrolled in a community college adult education program in a midwest suburban community.

Pearson product-moment correlation coefficients were calculated to describe the degree and direction of linear relationships between and among variables.

The findings revealed (1) There was no support for the hypothesis that there is a positive linear relationship between empathy and trust. Given the two instruments and the data they provided, empathy and trust appeared essentially independent of each other within this sample population. (2) A correlation, significant at the .05 level was found to exist between epigenetic scores and empathy scores for the total population. (3) Segments of the total population shown to have epigenetic scores bearing statistically significant level positive correlations with empathy scores were: males; younger subjects, male and female, aged 17-21; males, 17-21; those who were high scorers on the trust scale, and those who were low scorers on the epigenetic score. (4) The trust variable

independently is not positively correlated with either empathy or ego development. (5) A multiple correlation coefficient for the combination of empathy and trust in relation to the epigenetic score was slightly higher than the simple correlation for the epigenetic score and empathy.

It was concluded that the personality factors of empathy and trust are independent of each other and that these may exist in diverse levels within the adult learner. Young adult males 17-21 years old appear to be the sub-sample group responsible for the significant levels of correlation between ego development and empathy. In relation to the epigenetic score, empathy taken in simple correlation tells as much about the linear relationship as does the combination of empathy and trust.

There is not a sufficiently large relationship between and among the variables of empathy, trust and ego stage development shown from the present study to be of immediate, practical applicability. The findings of this study, in and of themselves, would be of little or no practical value in working with problems of personality and/or behavior change in adults.

Implications for future research of the theoretical base of the study are discussed.

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CHAPTER I

THE PROBLEM

Need for the Study

"The most crucial issue facing adult education lies in the improvement of the quality of adult interpersonal behavior, a complex of affective, cognitive, and psychomotor problems."[1] Within other helping professions such as social work, psychotherapy, counseling and family life education, the crucial issue is the same.

Educators of adults in these various fields need to understand what the individual adult learner brings to the relational and transactional process of learning which enables or inhibits him as he moves toward his learning objectives. If we are to know about the adult learner in relevant ways and thus to enable him to reach his learning objectives, we should know about him as a human being in interpersonal relationships. With the increasingly rapid pace of social change when the building of new and strengthening of old human relations calls for more diagnostically

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[1]Eugene R. Watson, "Interpersonal Changes Through Immediate Feedback Approaches," Adult Education, XIX, 4 (Summer, 1969), p. 251.

sensitive leadership in learning groups, adult educators are challenged to understand the individual adult learner, and the significance of empathy and trust as factors of his "becoming." The new vehicle for social change may be the bringing of the individual back into central focus in interpersonal relationships.

Dr. John F. Olson, Vice President of Syracuse University, thinks of education as

> a process which permits individuals to become the kind of person they really desire to be. To human beings, becoming is of greater consequence than being; and to become is a far greater achievement than just to be. This is the seminal purpose, the prime challenge of education.[1]

Empathy and trust represent within the individual personality theoretically similar traits related to interpersonal behavior, behavior change and the learning process. Since empathy and trust are developed through interrelationship, they are learned through transactional learning experiences. Once integrated into the self of the individual, they become personality traits which influence the future transactional learning processes. In this way we see

> people in process--not static but moving, not inert but becoming. This calls for a quite different approach to the learning problem.[2]

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[1]John F. Olson as quoted in Robert E. Sharer, There Are No Islands (North Quincy, Mass.: The Christopher Publishing House, 1969), p. 45.

[2]A.S.C.D. Yearbook, Perceiving, Behaving, Becoming: A New Focus (Washington: Association for Supervision and Curriculum Development, 1962), p. 90.

Empathy and trust are based in the common rootage in early infancy experiences within which patterns of personality are begun, according to theories advanced by Sullivan[1] and Erikson.[2] Ego development occurs in a systematic fashion, with need for resolution of each psychological crisis within a sequential order so that future developmental stages may be achieved.

Empathy and trust are essential components of personality. In the scant number of instances in the literature of the behavioral sciences where empathy and trust are discussed together, it is assumed that there is a positive relationship between them. In his discussion of primary identification, Ackerman points out "Failure of this sense of trust and confidence disrupts unity, disturbs empathy and communication."[3] Other authors also assume that empathy and trust move together, and that any increase in trust will be associated with an increase in empathy, or vice versa. "In high trust, persons in positions of responsibility tend to be more . . . empathic. . . ."[4] This

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[1]Harry Stack Sullivan, The Interpersonal Theory of Psychiatry (New York: W. W. Norton, 1953).

[2]Erik H. Erikson, Childhood and Society (New York: W. W. Norton, 1950).

[3]Nathan W. Ackerman, Psychodynamics of Family Life (New York: Basic Books, 1960), p. 146.

[4]Jack R. Gibb and Lorraine M. Gibb, "Emergence Therapy: The TORI Process in an Emergent Group," Innovations to Group Psychotherapy, ed. George M. Gazda (Springfield, Ill.: Thomas, 1968). p. 110.

assumption that they do move together seems to be intuitive and not supported by empirical research.

Empathy and trust are associated with and appear to arise from successful resolution of early infancy interpersonal relationship crises. One research study, which has been frequently quoted in the growing body of literature on empathy, indicated that those high on empathy were emotionally expressive, insightful . . . with satisfactory relations in childhood. Those who scored low on the empathy test . . . experienced difficulty in interpersonal relations, mistrusted others . . . and had had unsatisfactory family relations in childhood.[1]

This assumption that empathy and trust are related to the crisis resolution of early ego stage development has not been tested through empirical research among adults. The two personality traits are seldom explored as related to each other in patterns of adult interpersonal relationships, nor have they together been related to the ego stage development of the adult. The relationships between them, and their relationship to the ego stage of adult learners appear to have implications for the teaching of adults. These characteristics and the relationships between and among them were the central focus of this study, which dealt with affective factors in learning.

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[1]Rosalind F. Dymond, "Personality and Empathy," Journal of Consulting Psychology, XIV (1950), pp. 343-350.

The province of adult education is broader than the school setting of formal and informal classroom learning situations, and its outcomes are not restricted to factual information and technical skills. Adult education is going on in counseling sessions, in sensitivity training, and in psychotherapy. London and Wenkert assert:

> . . .There are activities, however, whose primary purpose is to educate, even though they are not usually referred to as adult education. One example of such activity is psychotherapy. . . . From the societal point of view the function of psychotherapy is similar to at least one of the functions of adult education, namely to enable the participant to engage productively in his private and public pursuits.[1]

Within the field of increasing business and industrial organizational effectiveness through increasing interpersonal competence, Chris Argyris views the learning process with which he is dealing in adult life and refers to the change agent as the "educator."[2]

These are situations in which the objective of adult learning is not mastery of course content, but change in the adult learner which comes from integration of internal response (personality) and external response (behavior). Adult education within these areas of learning is increasingly oriented to human relationship experiences.

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[1]Jack London and Robert Wenkert, "American Adult Education: An Approach to a Definition," Adult Leadership, XIII, 6 (December, 1964), p. 191.

[2]Chris Argyris, "Conditions for Competence Acquisition and Therapy," Journal of Applied Behavioral Science, IV, 2 (1968), p. 151.

It is implicit in the rationale of adult education that future responses can be modified through educational experiences. Personality and behavior have been influenced, but not totally determined, by prior experiences and in the adult learner are amenable to change through facilitating and remedial experiences.

Practitioners in adult education and those in other helping professions such as social work, psychotherapy, counseling and family life education who educate adults are basing their practice on largely unexamined assumptions about empathy and trust as factors of personality. A large proportion of these practitioners have not thought about (1) these bases of their practice, (2) their implicit assumptions about empathy and trust, (3) the relationship of these personality factors to the epigenetic growth and resolution of ego stages in adult development, nor (4) the relationship of the whole complex of these to adult learning problems they frequently confront. Previously held basic assumptions need to be reexamined.

The Purpose

The purpose of this exploratory study was to examine the relationship between empathy and trust, and their relationship to the "epigenetic growth and resolution" throughout the ego stage development of the adult learner. Empirical evidence was sought to support or reject the

assumptions that: (1) empathy and trust are interdependent and (2) they are related to the adult's ego stage development shown in a score for "epigenetic growth and resolution of psychological crises." An effort was made to discover (1) what relationships, if any, exist between the adult learner's empathic ability and his trust ability, and (2) what relationships exist between the "epigenetic growth and resolution" scores depicting the ego stage development of the adult learner and (a) empathy, (b) trust and (c) empathy and trust in combination.

Specifically, two questions were investigated.[1] (1) Are empathy and trust correlated positively or not? (2) What, if any, significant correlation exists between the "epigenetic growth and resolution" score depicting the adult learner's ego stage development and (a) empathy, (b) trust, and (c) empathy and trust in combination?

Definition of Terms

Affective sensitivity.--"the ability to detect and describe the immediate affective state of another, or in terms of communication theory, the ability to receive and decode affective communication,"[2] as measured by the

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[1]These questions are restated as hypotheses in Chapter III.

[2]Norman Kagan, D. R. Krathwohl, and William W. Farquhar, Developing a Scale to Measure Affective Sensitivity, A Report submitted to the U. S. Office of Education, NDEA Grant No. 7-32-C410-216 (Educational Research Series, No. 30; East Lansing, Michigan: Michigan State University, 1965).

Campbell "Scale to Measure Affective Sensitivity (Empathy)."

Ego stage.--A stage of human development with characteristic psychological conflicts which are resolved by normal persons within a sequential order, as measured by the Boyd "Self Description Questionnaire." Erikson's concept will be employed, as modified by Boyd.

Empathy.--The ability to apprehend the present feelings of another person, accepting and understanding the other person and his feelings.

Epigenetic growth and resolution.--Erikson utilizes the principle of ". . .proper rate and the proper sequence"[1] in relation to the growth of a personality.

> . . .the epigenetic principle which is derived from the growth of organisms in utero . . . states that anything that grows has a ground plan, and that out of this ground plan the parts arise, each part having its time of special ascendancy, until all parts have arisen to form a functioning whole.[2]

Erikson employs an epigenetic diagram to "formalize a progression through time of a differentiation of parts." He states that "Each item of the healthy personality . . . is systematically related to all others, and . . . they all depend on the proper development at the proper time of each

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[1]Eric H. Erikson, "Growth and Crises of the 'Healthy Personality'," Personality in Nature, Society and Culture, eds. Clyde Kluckhohn and Henry A. Murray (2d ed.; New York: Alfred A. Knopf, 1953), pp. 187-189.

[2]Ibid.

item."[1] Resolution of the psychological crises may be positive or negative in the basic alternative attitudes within the eight socio-psychological crises in ego stage development.

Epigenetic score.--The score used in this study, derived from the Boyd "Self Description Questionnaire" is not an Eriksonian ego stage. It is a score of the "epigenetic growth and development and the successful resolution of psychological crises" as devised by Boyd.[2]

Interpersonal trust.--(Inter-trust) . . ."reasonable trustfulness as far as others are concerned."[3] ". . .an expectancy held by an individual or group that . . . another individual or group can be relied upon,"[4] as measured by the Rotter "Interpersonal Trust Scale."

Intrapersonal trust.--(Intra-trust) Self-trust. "A simple sense of trustworthiness as far as oneself is concerned."[5]

Learning.--Personality and/or behavior change in persons. Learning is thus seen as a dynamic, active

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[1] Ibid.

[2] Interview with Dr. Robert D. Boyd, University of Wisconsin, March 26, 1970.

[3] Erikson, "Growth . . .," op. cit., p. 190.

[4] Julian B. Rotter, "A New Scale for the Measurement of Interpersonal Trust," Journal of Personality, XXXV (1967), pp. 651-666.

[5] Erikson, "Growth . . .," op. cit., p. 190.

transactional process which takes place within interpersonal relationships, with contractual, mutual giving and taking interaction, centering around purposive and organized experiences to integrate the internal and external worlds of the learner.

Personality trait.--Generally defined as some consistent quality of behavior . . . which characterizes the individual in a wide range of his activities and is fairly consistent over a period of time.

Phase-specific.--"Phase-specific is a concept employed by Erikson to refer to that time when a given ego stage assumes its ascendency."[1] Boyd calls attention to the Erikson chart (Chapter II). "Notice that there are pre-phase-specific phases as shown in the diagram and that there are post-phase-specific phases."[2]

Trust.--"Assured reliance on another's integrity, veracity, justice, etc.; confidence."[3] Trust is a social process, and/or a product thereof.

Assumptions

The following assumptions have been made:

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[1]Robert D. Boyd and Robert N. Koskela, "A Test of Erikson's Theory of Ego-Stage Development by Means of a Self-Report Instrument," Journal of Experimental Education, XXXVIII, 3 (Spring, 1970), p. 6.

[2]Ibid.

[3]Webster's New Collegiate Dictionary (Springfield, Mass.: G. & C. Merriam Co., 1961), p. 914.

1. While human personality is not totally determined by past experience, it is significantly influenced by it. There are beginning patterns of personality development in early infancy experiences which influence the resolving of crises in later stages of maturation.

2. The processes of learning are experiential, related to reorganizing and remaking personality and its expression, which is behavior. They are life-long and life-wide in scope.

3. Learning is a dynamic, active transactional process, which takes place within interpersonal relationships, with contractual, mutual giving and taking interaction, centering around purposive and organized experiences to integrate the internal and external worlds of the learner.

4. The sociopsychological characteristics of the members of an adult learning group have influences upon the motivation for learning, the patterns of interpersonal communication behavior, what is learned by group members, and the "personality" of the group.

5. Empathy and trust are essential components of the personality. Empathy and trust are related in a significant way to interpersonal relationships, behavior change, and the transactional learning process.

6. Ego development occurs in a systematic fashion, with resolution of psychological crises in a sequential

order so that the ego's future developmental stages may be achieved.

7. The scores on the empathy scale, the scores on the trust scale, the relationship between these, and their relationship to ego stage development are appropriate items for study as factors which effect adult learning.

8. Better understanding of relationships among empathy, trust and the ego stage development is likely to have significance for persons whose work involves altering human behavior.

9. The adults selected for the study were a reasonably representative sample of adults who engage in a diverse community adult education program.

Limitations

1. This study of empathy, trust and ego stage development did not attempt to ascertain whether manipulation of one variable would in fact increase or decrease the other variables.

2. The study did not attempt to ascertain the relationship of empathy and trust to other personality factors such as self-esteem, flexibility, anxiety, authoritarianism, openness, etc., which have been explored in previous research in relation to either empathy or trust.

3. While we recognized the importance of intrapersonal trust (intra-trust), this study has not attempted

to measure or deal with that phase of trust. In this study "trust" was interpreted to mean interpersonal trust (inter-trust).

4. The personality traits of empathy, trust, and the ego stage development of the adult learner were not studied for their influence on learning processes.

5. The sample was drawn from a community college adult education population. Though it is assumed to be a reasonably representative sample, generalizations from this study to other adult education situations must be made with due recognition of the limited sample.

6. The research was conducted in classrooms (a) where closed circuit T.V. was available and (b) where instructors volunteered to cooperate in allowing class time to be used for the project. These two factors admittedly may skew the population sample.

7. The variables within the study did not lend themselves to precise and fully comprehensive measurement. The scope of the study was restricted by the instruments available. They were recognized to be less than perfect.

8. Behavior relevant to empathy and trust may manifest itself only under appropriate conditions, and these appropriate conditions may or may not have been present for all participants in the study.

9. The relationships between and among the scores of empathy, trust and "epigenetic growth and resolution" throughout the ego stage development were not taken as measures of competence in life situations nor as predictive of success or failure in any processes of adult learning.

10. While Erikson's ego stage schema was actively employed in the study, the scores of ego stage development used in comparisons for this study were not equivalent to the eight stages of man theorized by Erikson. Scores used in this study represent a 0-12 range of scores devised by Boyd to more broadly consider the "epigenetic growth and resolution" of the adult learners involved in this study, and are called "epigenetic scores."

Significance of the Study

Findings and conclusions of this study should contribute to the adult educator's understanding of an adult learner's ability to perceive affective states of others, his level of trust and his "epigenetic growth and resolution" within the realm of his ego stage development. Such basic understanding could be helpful to adult change agents in: (1) enabling further personal change in interpersonal functioning; (2) enabling further studies of other personality factors or demographic correlations; and (3) improving the helping relationship between the educator and the adult learner.

It is hoped that the study will contribute to better practice in adult education and in such helping professions as social work and family life education through utilization of counseling, sensitivity training, and psychotherapy, enabling adults to function better in interpersonal relationship situations.

Overview of the Thesis

The problem has been presented in Chapter I in terms of the need for and purpose of the study, the problem statement, definitions, assumptions and limitations.

In Chapter II, the literature relevant to ego stage development, empathy and trust is reviewed. Relationships suggested by the literature are pointed out, and a summary and implications for adult learning are developed.

The rationale, the hypotheses, a description of the community college setting of the study and delineation of the sample are presented in Chapter III.

Chapter IV describes the methods and procedures used in the study. Instruments include: (1) Campbell's "Scale to Measure Affective Sensitivity (Empathy)," (2) Rotter's "Interpersonal Trust Scale" and (3) Boyd's "Self Description Questionnaire" (Ego stage development). The statistical tools used in identifying and measuring relationships between and among variables are given, followed by a summary statement.

The presentation of the data, analysis of the data and discussion of results are presented in Chapter V.

Chapter VI includes a general summary of the results, the conclusions, and some statements concerning the implications of these outcomes for adult education practice and for future research.

CHAPTER II

REVIEW OF LITERATURE

Introduction

In this chapter the literature on ego stage development of personality is explored. Next a skeletal theoretical model of the development of empathy, the nature of empathy, and research on empathy are reported. Theory regarding the nature and development of trust follows. Finally, implications for adult learning and education are discussed and the conceptual base for this work is summarized.

An exploration of prior research on the origin and nature of empathy and trust suggests that these variables, singly and through interaction, influence ego stage development and thus are related to interpersonal behavior of the individual, as well as his potential for change. It seems clear that in the dynamic, interacting relationships of early infancy the beginning and/or development of empathy and trust is in process.

Studies of empathy reveal a growing field with multiple attempts at clarification of concepts. There exists a multiplicity of theoretical conceptualizations and

definitions. Research on "affective sensitivity" as a component of empathy seems to help narrow the field of focus. Studies of trust have been utilizing a global concept which must be clarified into two components: intrapersonal trust and interpersonal trust.

No studies of the nature of the relationship between affective sensitivity and interpersonal trust have been found. The two personality traits are seldom discussed as related to each other in patterns of adult interpersonal relationships, nor have they together been related to the ego stage development of the adult.

Ego Stage Development

The ego "consists of those functions which have to do with the individual's relation to his environment . . .,"[1] Erikson points out that

> The ego keeps tuned to the reality of the historical day, testing perceptions, selecting memories, governing action, and otherwise integrating the individual's capacities of orientation and planning.[2]

Arising from the experiencing of what is happening to oneself, the ego becomes the organizational center of the personality. The ego develops from the reactions which an individual has with others.

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[1]Charles Brenner, An Elementary Textbook on Psychoanalysis (New York: International Universities Press, 1955), p. 38.

[2]Erikson, Childhood . . . op. cit., pp. 167-168.

> By ego is meant those processes concerned with relating the self to the environment; with selection, regulation, and integration of behavior; with the growth of competence and mastery; with the control of outcomes; and with the growing awareness of the self as the instrument for achieving one's aims.[1]

Conventionally, the term ego is used to refer to the group of psychological processes, and the term self is employed for the person's systems of conceptions of himself. These meanings will be observed here, though some authors do switch to direct opposites of the customary meanings and some prefer to use "self" in substitution for "ego." G. H. Mead, for example, asserts that "The self as that which can be object to itself, is essentially a social structure, and it arises in social experience."[2] Rollo May has pointed out that "the self is always born in interpersonal relationships."[3] He further clarifies:

> We do not need to prove the self as an "object." It is only necessary that we show how people have the capacity for self-relatedness. The self is the organizing function within the individual and the function by means of which one human being can relate to another.[4]

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[1]Bernice L. Neugarten, "Personality Changes During the Adult Years," Psychological Backgrounds of Adult Education, ed. Raymond G. Kuhlen (Chicago: Center for the Study of Liberal Education of Adults, 1963), p. 61.

[2]George Herbert Mead, Mind, Self and Society (Chicago: The University of Chicago Press, 1934), p. 140.

[3]Rollo May, Man's Search for Himself (New York: W. W. Norton, 1953), Signet, 1967, p. 75.

[4]Ibid., p. 79.

In some instances, writers see the ego as the executive function of the self.

Ego development occurs in a systematic fashion, with need for resolution of each psychological crisis within a sequential order so that the ego's future developmental stages may be achieved. Stage theories of personality are advocated by Erikson, Freud, Gesell and Ilg, Piaget and Sullivan. These "all assume that social behavior can be categorized in terms of a relatively pre-fixed sequence of stages which are more or less discontinuous."[1] Bandura further states:

> Stage theories have at best specified only vaguely the conditions that lead to changes in behavior from one level to another. In some of these theories it is assumed that age-specific behavior emerges spontaneously as the result of some usually unspecified biological or maturational process. In others it seems to be assumed that the maturational level of the organism forces from socializing agents patterns of child-training behavior that are relatively universal, thereby predetermining the sequence of developmental changes.[2]

Erikson assumes the maturational level of the organism is at work in moving the individual to the next specific phase of development.

> Whenever we try to understand growth, it is well to remember the epigenetic principle which is derived from the growth of organisms in utero. Somewhat generalized, this principle states that anything that grows has a

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[1]Albert Bandura and Richard H. Walters, Social Learning and Personality Development (New York: Holt, Rinehart and Winston, Inc., 1963), p. 24.

[2]Ibid., p. 25.

> ground plan, and that out of this ground plan the parts arise, each part having its time of special ascendancy, until all parts have arisen to form a functioning whole. . . .At birth the baby leaves the chemical exchange of the womb for the social exchange system of his society, where his gradually increasing capacities meet the opportunities and limitations of his culture. How the maturing organism continues to unfold, not by developing new organs, but by a prescribed sequence of locomotor, sensory, and social capacities, is described in the child-development literature. Psychoanalysis has given us an understanding of the more idiosyncratic experiences, and especially the inner conflicts, which constitute the manner in which an individual becomes a distinct personality. But here, too, it is important to realize that in the sequence of his most personal experiences the healthy child, given a reasonable amount of guidance, can be trusted to obey inner laws of development, laws which create a succession of potentialities for significant interaction with those who tend him. While such interaction varies from culture to culture, it must remain within the proper rate and the proper sequence which govern the growth of a personality as well as that of an organism.[1]

Erikson then draws this thinking together and concludes that

> Personality can be said to develop according to steps predetermined in the human organism's readiness to be driven toward, to be aware of, and to interact with, a widening social radius, beginning with the dim image of a mother and ending with mankind, or at any rate that segment of mankind which "counts" in the particular individual's life.[2]

He presents stages in the psychosocial development of personality (see diagram, next page) saying

> . . .we employ an epigenetic diagram analogous to one previously employed for an analysis of Freud's psychosexual stages . . . the diagram formalizes a progression through time of a differentiation of parts. . . . I

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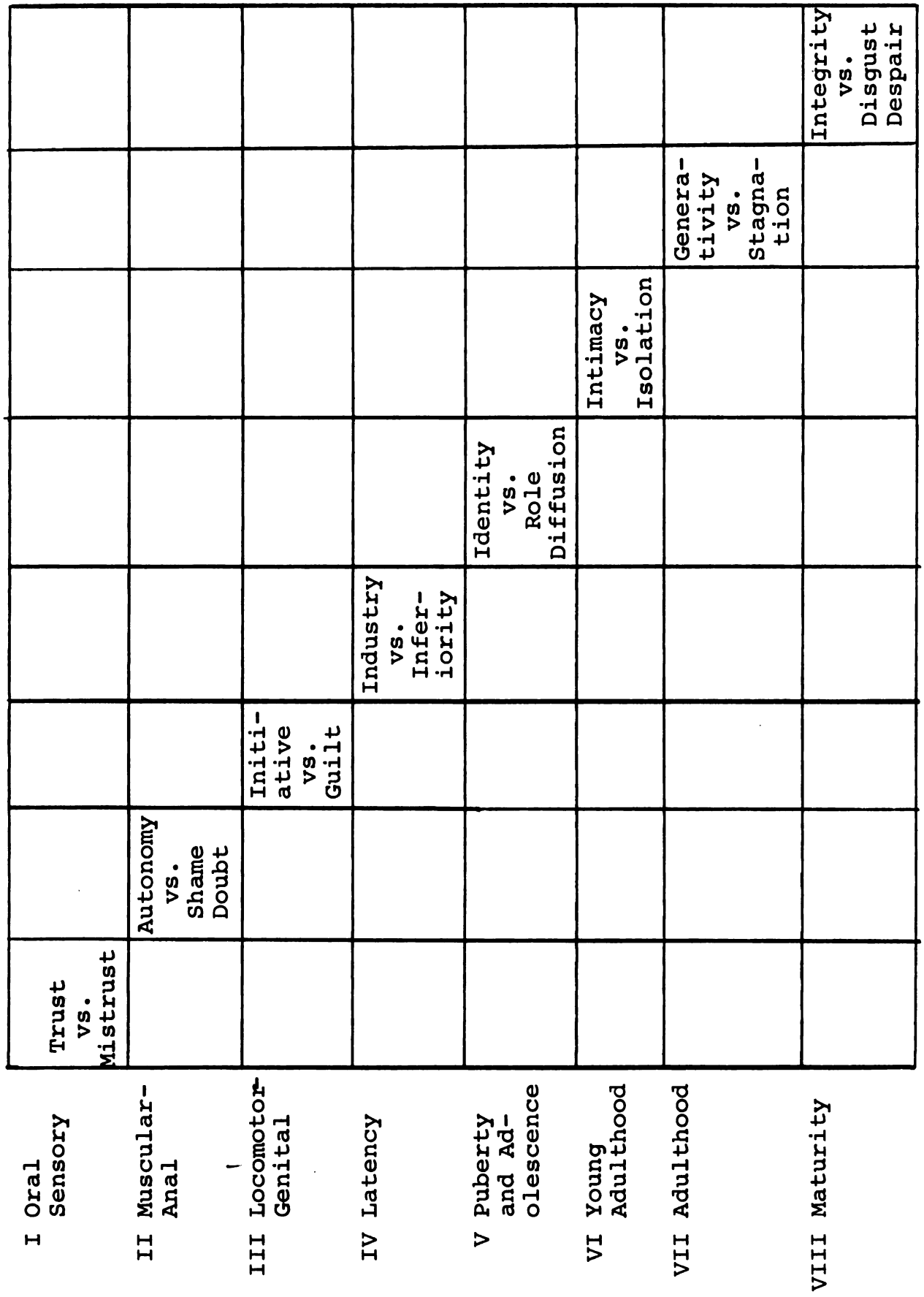
[1]Erikson, "Growth . . .," op. cit., p. 187.

[2]Ibid.

Figure 1.--Erikson's Eight Stages of Man.



> introduce the principle of the diagram here only in order to indicate (1) that each item of the healthy personality to be discussed is systematically related to all others, and that they all depend on the proper development at the proper time of each item; and (2) that each item exists in some form before "its" decisive and critical time normally arrives. . . .Each stage becomes a crisis because incipient growth and awareness in a significant part-function goes together with a shift in instinctual energy and yet causes specific vulnerability in that part.[1]

In summarization of Erikson, as he develops a scale to measure ego stage development, Boyd states:

> Ego age is synonymous with ego stage which is defined as a set of basic alternative attitudes. For example, ego stage I is defined as the basic alternative attitudes of Trust versus Mistrust. Each of the eight ego stages described by Erikson consists of two different sets of basic alternative attitudes which constitute the positive and negative aspects of the eight socio-psychological crises in ego development.[2]

Problems of unresolved conflicts manifested in negative responses seem to remain vestigial and may need to be handled through positive resolution within later stages. Positive learning and responses, on the other hand, may either be strongly built upon or may be dormant until called into play at a later ego stage.

In order to make use of the whole epigenetic growth pattern of the person, Boyd devised an arithmetic value computation table beyond the mere calculation of the ego stage of the adult.[3] Further sensitivity was added in the

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[1] Ibid., pp. 187-189.

[2] Boyd and Koskela, op. cit., p. 4.

[3] Interview with Dr. Robert D. Boyd, University of Wisconsin, March 26, 1970.

computation by consideration of the positive or negative resolution of psychological crises. The score used within the present study does not represent an ego stage of the Erikson chart, but is a score which depicts the adult's "epigenetic development and resolution."

For Erikson, the first ego age of trust versus basic mistrust is delineated in terms of the fundamental concerns of "oral-respiratory," teething problems, "to get and give in return," and "a sense of being all right." Self-trust was seen by Erikson as an imperative learning in early infancy and as a factor in subsequent interpersonal trust relationships.[1]

Harper concisely summarizes Sullivan's stage theory.

> Sullivan's stages of development are not, however based on the emerging biological needs of the individual, but are characteristically related to the social patterns and interpersonal relations of the individual at various points in life.[2]

Sullivan felt that favorable circumstances for development of competence for living with others are needed at each and every stage in order for the individual to mature with adequate and appropriate interpersonal relations for life in a fully human world.

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[1]Erikson, Childhood . . . op. cit.

[2]Robert A. Harper, Psychoanalysis and Psychotherapy (New York: Prentice-Hall, Inc., 1959), p. 69.

Sullivan saw within the early age span the development of empathy, as well as a sense of euphoria versus anxiety. He saw personality as "the relatively enduring pattern of recurrent interpersonal situations which characterize human life,"[1] thus viewing interpersonal relationship as a strong influence in formation of personality. In the early months of life, through a peculiar "emotional contagion or communion" which is "empathy," the child becomes aware of its mother's emotional states relating to pleasure and anxiety, approval and disapproval.

Self-respect arises from the attitudes of those who care for the child in early life, and in later life his attitudes towards others is influenced by his attitude toward himself. Sullivan believed that the process of becoming a human is the process of socialization.[2]

As we have seen, according to the conceptions of interpersonal relationships held by Sullivan and Erikson, the personality factors of empathy and trust are rooted within the dynamic, interacting and transactional relationships of early infancy experiences with the mother.

Freud recognized the importance of early experiences which arise in family life, but criticism has been leveled against him for having overlooked the fact that the parental

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[1]Sullivan, Interpersonal . . . op. cit., p. 111.

[2]Sullivan, Interpersonal . . . op. cit.

attitudes themselves were strongly influenced by cultural factors. Freud's emphasis was biologically oriented, and reflects a 19th century conceptualization with European and American ethnocentrisms. Neo-Freudian theory places increased attention on interpersonal transactions in the immediate present.[1]

Ackerman, reflecting the psychodynamics insight which is emerging, succinctly clarifies the family's role in socialization by saying:

> The family's task is to socialize the child and foster his identity. There are two central processes involved in this development; first, the movement from a position of infantile comfort and dependence toward adult self-direction and its attendant satisfactions; second, the movement from a place of infantile, aggrandized, omnipotent importance to a position of lesser importance, that is, from dependence to independence and from the center of the family to the periphery. Both processes are psychological functions of the family as a unity. In the interests of the emotional health of the child it is essential that these processes be imperceptibly gradual.[2]

An early emphasis in theoretical concepts of personality development was on the socialization of the young as the key determinant of adult behavior. Socialization is an interpersonal relationship process by which the child learns and internalizes appropriate values, patterns and feelings of a given society or social group so that he can function within it. Elkin states that

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[1]Karen Horney, New Ways in Psychoanalysis (London: Routledge and Kegan Paul, 1939). See also Rollo May, Existential Psychology (New York: Random House, 1961).

[2]Ackerman, op. cit., p. 21.

> since the socialization process occurs through social relationships, . . .and a child cannot learn the ways of society by being apart from people; others, wittingly or unwittingly, teach him through their guidance, examples, responses, and emotional attachments. Thus socialization is a function of social interaction.[1]

As we study patterns of the beginning and development of personality structure, there emerge multivariate possibilities for experiences within the early maternal-child relationship.

> The infant feels and bodily perceives the mother and what she feels--through his mouth, his skin, his muscles and even his guts and in his bones, as some linguistic usage has it. Perhaps this is a primordinal avenue to "knowledge" about himself and his world for the human infant.[2]

Sachachtel observes that

> The infant, long before he knows and remembers how his mother looks, knows how she smells and tastes. Very likely, angry or frightened mother tastes and smells rather different from good or comfortable mother to the infant.[3]

Many of the psychoanalytic and personality development theorists contend that some of the significant variables of the early infancy experience of nursing, symbiosis, object relationship, primary identification, and weaning are

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[1]Frederick Elkin, The Child and Society (New York: Random House, 1960), p. 5.

[2]Paul H. Ornstein and Robert J. Kalthoff, "Toward a Conceptual Scheme for Teaching Clinical Psychiatric Evaluation," Comprehensive Psychiatry, VIII, 5 (1967). p. 408.

[3]Ernest G. Schachtel, "On Memory and Childhood Amnesia," An Outline of Psychoanalysis, eds. C. Thompson, M. Mozer, and E. Wittenberg (New York: Modern Library, 1955), p. 218.

among the parameters of maternal-infant interaction which exert important influences upon later character and personality. Other theorists in child-rearing emphasize parental attitudes in contrast to specific practices. Caldwell, in an extensive review of infant and child care research summarizes:

> The relationship between parent attitudes and parent behavior is still insufficiently explored and imperfectly understood. In terms of the relative strength of either, the weight of evidence at the present time would appear to be on the side of attitude. . . .Interaction effects may be more important than either attitudes or practices considered separately.[1]

Personality features of the individual are influenced by, among other factors, parental personalities. The parental resolution of crises of development may be evident in their adult attitudes in relating to their children. It is being observed that adults reflect the influences of the culture within which they have been reared, and the circumstances of their life-style at the time they are involved in the infant-parent relationship may affect their child-rearing practices.

A growing number of psychologists like Maslow, Fromm, Erikson and Rogers would agree with Schachtel that

> (1) The infant is not entirely helpless but shows from birth on steadily increasing capacities for active

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[1]Betty M. Caldwell, "The Effects of Infant Care," Review of Child Development Research, Vol. I, eds. Martin L. Hoffman and Lois Wladis Hoffman (New York: Russell Sage Foundation, 1964), pp. 80-81.

> searching for satisfaction and for active discovery and exploration and that it enjoys these active capacities; (2) that the child in many ways shows a promise which altogether too often is betrayed by adult man and his society and by the growing child itself when it yields to those forces and aspects of the culture, as transmitted by parents, teachers, and peers, which are crippling to its inherent potentialities.[1]

Successful resolution of the crises or developmental tasks achieved at the first ego stage affects the resolution of later, more complex ego stages of personality development in the process of maturation. These influences on the child's response to living form effects which some theorists feel are less reversible than effects of later influences which the child will receive of a more superficial nature.

> The first learning is preverbal, and for this reason may be expected to be more broadly generalized and less susceptible to later extinction or verbally mediated control.[2]

These early interpersonal learnings merely set the stage, within any culture, for subsequent interpersonal experiences and learning patterns.

Many theorists and practitioners feel we should attempt to reconstruct childhood in order to understand adult life. Typical of this rationale, Erikson believes that

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[1]Ernest G. Schachtel, Metamorphosis (New York: Basic Books, 1959), p. 5.

[2]Irvin L. Child, "Socialization," Handbook on Social Psychology, ed. Gardner Lindzey (Reading, Mass.: Addison Wesley Publishing Co., Inc., 1954), p. 678.

> A lasting ego identity cannot begin to exist without the trust of the first oral stage; it cannot be completed without a promise of fulfillment which from the dominant image of adulthood reaches down into the baby's beginning and which creates at every step an accruing sense of ego strength.[1]

The early conflicts and resolutions of developmental stages of the infant and child, in some phases, occur before he can verbalize adequately. Information is difficult to acquire regarding early developmental experience, particularly when sought from the self reporting of an adult. Such information appears to be available through the Boyd "Self Description Questionnaire" output data after computation of raw scores on the scale.

The view of personality as largely determined by past experiences, and of consequent behavior as largely predictable has been predominant in the psychological studies of the past fifty years. Personality theorists have fought their way out of the corner of determinism of adult behavior on the basis of heredity. Some of them have stepped into another entrapment, a determinism of personality as based completely upon early family interaction. Reflecting the deterministic viewpoint, Allport felt that

> Personality is the dynamic organization within the individual of those psychophysical systems that determine his unique adjustments to his environment.[2]

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[1]Erik H. Erikson, "Identity and Identity Diffusion," The Self in Social Interaction, eds. Chad Gordon and Kenneth J. Gergen (Vol. I, New York: John Wiley, 1968), p. 199.

[2]Gordon Allport, Personality: A Psychological Interpretation (New York: Holt, 1937), p. 48.

Putney and Putney are less willing to accept the deterministic hypothesis. They summarize a contrasting view:

> To be sure, those who surround the individual during early childhood greatly influence his initial conception of himself and the type of choices he learns to make. But he is not molded irrevocably by the age of four or five. A man is more than the synopsis of his childhood --or at least he can be more. The self is never rigidly defined until the moment of death; it changes subtly with every choice of action the individual makes.[1]

This viewpoint is affirmed also by Grey, who states "More recently psychologists and sociologists have shifted their attention to the circumstances of adult life factors affecting character style."[2]

Orlansky, influenced by anthropoligical studies, has been led to conclude that

> the rigidity of character structure during the first year or two of life has been exaggerated by many authorities and that the events of childhood and later years are of great importance in reinforcing or changing the character structure tentatively found during infancy.[3]

The continuous experience of social interaction through infancy, childhood, adolescence and adulthood seems not to allow acceptance of the <u>determinism</u> theory which places paramount or exclusive emphasis on the family or on parental models. It should not be concluded that the

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[1]Snell Putney and Gail J. Putney, <u>The Adjusted American</u> (New York: Harper and Row, 1964), p. 35.

[2]Alan L. Grey, ed., <u>Class and Personality in Society</u> (New York: Atherton Press, 1969), p. 41.

[3]Harold Orlansky, "Infant Care and Personality," <u>Psychological Bulletin</u>, XLVI (January, 1949), pp. 1-48.

individual's personality traits are forever anchored to parent-child relations. Whereas there may be important influences of attitudes within early infancy, the individual is not merely a passive reactor to the past, or to other forces outside his control. There is evidence which suggests that behavior varies according to the situations, convictions, goals, and social roles; that the individual's expectations and standards are influenced by teachers, peers and public opinion; and that personality continues to develop throughout life.

> The organization of personality consists of interpersonal events rather than intrapsychic ones. Personality only manifests itself when the other person is behaving in relation to one or more other individuals. These people do not need to be present; in fact they can even be illusory or nonexistent figures.[1]

Or, putting it in other words,

> . . .the ultimate uniqueness of each personality is the product of countless and successive interactions between the maturing constitution and different environing situations from birth onward.[2]

Deterministic views are being questioned by Fromm, Maslow, Shostrom, Jourard, and Rogers among a few of the notable writers. Determinism has long been in conflict with the concepts of behavior change and learning, and denies freedom to the individual learner.

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[1]Calvin S. Hall and Gardner Lindzey, Theories of Personality (New York: John Wiley, 1957), p. 137.

[2]Clyde Kluckhohn and Henry A. Murray, "Personality Formation: The Determinants," Personality in Nature, Society and Culture, eds. Clyde Kluckhohn and Henry A. Murray (2d ed.; New York: Alfred A. Knopf, 1953), p. 55.

While there are important influences of personality within the early infancy experiences, these do not totally determine later responses. Later experiences may express the attitudes toward situations which reflect past experiences with the stimuli. The human being is resilient and a poor beginning should not "doom" the individual; his subsequent experiences are important.

The transcendent philosophy of "being" suggests that continuing education may be required to further change behavior and enable adult personal growth through learning experiences. "Man has the capacity to transcend the immediate situation, to rise above his past, to transcend himself."[1] Fromm argues for a bold conception of transcendence as

> the act of leaving the prison of one's ego and achieving the freedom of openness and relatedness to the world. . . .The basis for love, tenderness, compassion, interest, responsibility, and identity is precisely that of being versus having, and that means transcending the ego.[2]

The adult learner is emerging, evolving, becoming--on his way from what he is to what he may become--a human in process.

> Man is thus free. He is what he makes of himself; heredity, environment, upbringing, and culture are

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[1]C. H. Patterson, Theories of Counseling and Psychotherapy (New York: Harper & Row, 1966), p. 446.

[2]Erich Fromm, The Revolution of Hope: Toward a Humanized Technology (New York: Bantam), p. 89.

> alibis. External influences are limiting but not determining. . . .Man exemplifies transcendence in his concept of the possible, in bringing the past and the future to bear upon the present, in thinking in symbols, in seeing himself as others see him, and perhaps most characteristically in the capacity to be aware that he is the one who is acting--to see himself as both subject and object at the same time.[1]

Basic dissatisfaction with their current status in life is often a motivating factor for adults who seek beyond their active relationships for new learning experiences.

> The adult's needs for self-growth and development, the achievement of social worth and success, and the establishment of interpersonal relations constitute an example of . . . socio-psychological forces influencing formal adult instruction. Adults are especially concerned with maintaining and enhancing their social worth and success.[2]

The adult may approach learning experiences with anxieties and defensiveness, distrust and insecurities which are barriers to behavior change. For some adults, these barriers have become solidified, and facilitating relationship is needed to cut through or reduce the rigidity. Thus freed, they are more receptive to change, and new motivations facilitate forward movement midst expanding experiences and understandings. Kidd views the learning experience and states:

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[1]Patterson, op. cit., pp. 445-446.

[2]Gale Jensen, "Social Psychology and Adult Education Practice," Adult Education: Outlines of an Emerging Field of University Study, eds. Gale Jensen, A. A. Liveright and Wilbur Hallenbeck (Chicago: Adult Education Association of the United States, 1964), p. 145.

> All new experiences for the learner are symbolized and organized into some relationship to the self, or are ignored because there is no perceived relationship, or are denied organization, or given a distorted meaning because the experience seems inconsistent with the structure of the self.[1]

The psychological bases of the adult's engagement in learning include his internal world of personality and his subsequent external behavior.

> A person's motivations and perceptions are the basic stuff out of which his interpersonal behavior is made. The manifestations of his perceptions and his motivations occur in verbal and nonverbal communications with others.[2]

Boyd has developed an instrument for ego stage measurement called the "Self Description Questionnaire." The Self Description Questionnaire ascertains the pertinency of a particular ego stage to the adult learner at this point in his life, and further discerns whether the adult feels the particular stage is like or unlike him. One subsection of the questionnaire

> provides data on the examinee's reported perception of his behavior patterns. The data provide measures of the self perception of the individual on the positive and negative aspects of each ego stage. The organization of the data into graphic or table form yields a profile of the ego stage development of the individual at this point in his life. The profile is technically termed the ego stage profile.[3]

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[1] J. Roby Kidd, How Adults Learn (New York: Association Press, 1959), p. 52.

[2] Jack R. Gibb, "Sociopsychological Processes of Group Instruction," Human Forces in Teaching and Learning, 1961: Selected Readings, Series Three (Washington: National Training Laboratories, National Education Association, 1961), p. 54.

[3] Boyd and Koskela, op. cit., p. 6.

In a recently developed further step, Boyd's arithmetic valuing of scores is designed to give the whole epigenetic growth pattern of the person, plus consideration of the positive or negative resolution of his psychological crises. In the adult learner the ego stage development of the "healthy personality" will show appropriate crisis resolution in the early stages, indicative of the adult having become a person in his own right.

> In the healthy course of the development of the self, one is involved in a continuing process of assimilation and integration of new experiences, new discoveries concerning one's resources, one's limitations, and one's relations with oneself and with others.[1]

Theories of learning and theories of personality are not clearly separated. Both can be drawn upon by educators, since learning theory and personality theory are simply different disciplines looking at the same phenomenon.

> If we accept the assumption that all behavior change is the result of learning, then it is apparent that all counseling or psychotherapy involves learning. . . . Thus, all approaches to counseling might be considered as learning theory approaches; and in fact all might be considered or evaluated in terms of their relationship to and consistency with existing learning theories.[2]

Educators deal with behavior, as do counselors and psychotherapists. Different approaches in adult education vary in the specific nature and extent of behavior change

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[1]Arthur T. Jersild, In Search of Self (New York: Teachers College, Columbia University, 1952), p. 14.

[2]Patterson, op. cit., p. 141.

toward which they are directed, but all seek behavior change of some kind; and behavior change is generally a product of change in attitudes, feelings, perceptions, values or goals. Empathy and trust are personality factors whose presence or lack are discernable through behavior in interpersonal relations, and become areas of concern for the educator dealing with behavior change and the learning process.

Clinicians Sullivan and Erikson deal with learning theory, while not directly using the phrase, when they trace to familial attitudes and atmospheres of the formative years the learning of attitudes and the formation of traits of empathy and trust.

Erikson succinctly presents the developmental aspects of trust within the early infancy ego stage. Sullivan stands out in our paradigm for his concept of the development of empathy. These theorists will be explored in greater depth in subsequent sections in relationship to each of these personality traits.

Summary

The ego develops from the interactions which an individual has with others, and it becomes the organizational center of the personality. Maturing involves systematic resolution of each psychological crisis within a sequential order so that the ego's future developmental stage may be achieved.

Significant variables of maternal-infant interaction which exert important influences upon later character and personality have been explored by researchers. The ego structure is formed in infancy preverbal interaction but is amenable to change throughout later ego stages. Stage theorists disagree and/or are unclear about how the individual moves from one stage to the next.

Empathy and trust have been discussed individually by Sullivan and Erikson, but would seem to have a common rootage in the early ego stage. Each theorist presents strong argument for the important influence of the individual's response to interpersonal relationships within the process of early infancy transactional learning experiences.

Empathy

Development of Empathy

There is increasing agreement that empathy is an innate capacity, a part of the equipment with which one is born. Greenson stated that "Empathy . . . is a capacity which everyone has had. . . ."[1] and later he added that "It is essentially a preconscious phenomenon."[2] Kohut

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[1]Ralph R. Greenson, "The Classical Psychoanalytic Approach," American Handbook of Psychiatry, ed. Silvano Arieti (3 vols.; New York: Basic Books, 1959), II, p. 1412.

[2]Ralph R. Greenson, "That 'Impossible' Profession," Journal of the American Psychoanalytic Association, XIV, 1 (1966), p. 11.

concluded that "the capacity for empathy belongs . . . to the innate equipment of the human psyche. . . ."[1] Ornstein and Kalthoff state, "In its precursors, empathy is probably an inborn propensity which unfolds in the infant's relationship to its mother."[2] Zderad, in developing a concept of empathy concluded, "An examination of empathy's source shows that . . . all men have an innate capacity for empathizing."[3] Driver asserts,

> The seeds for empathy, human interactions, and understanding of others, could be said to be a human heritage.[4]

In the literature of classical psychoanalytic technique, Freud, W. Reich, Fenichel, Glover and Menninger are not concerned with the concept of empathy as such. Freud discusses empathy in relation to identification, saying

> we are faced by the process which psychology calls "empathy (Einfühlung)" and which plays the largest part in our understanding of what is inherently foreign to our ego in other people.[5]

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[1]Heinz Kohut, "Forms and Transformations of Narcissism," Journal of the American Psychoanalytic Association, XIV, 2 (1966), p. 262.

[2]Ornstein, op. cit., p. 408.

[3]Loretta Therese Zderad, "A Concept of Empathy" (unpublished Ph.D. dissertation, Germantown, University, 1968).

[4]Helen I. Driver, Counseling and Learning Through Small-Group Discussion (Madison, Wisconsin: Monona Publications, 1958), p. 106.

[5]Sigmund Freud, Group Psychology and the Analysis of the Ego (New York: Bantam Books, 1921, 1960), p. 50.

In a later footnote, Freud added,

> A path leads from identification by way of imitation to empathy, that is, to the comprehension of the mechanism by means of which we are enabled to take up any attitude at all toward another mental life.[1]

The unfolding of empathy in the infant's relationship to its mother is vitally important in influencing the child's empathic response to other human beings in later years.

Though Sullivan felt that "We do not know much about the fate of empathy in the developmental history of people in general," he continued by stating, "I find it convenient to assume that the time of its great importance is later infancy and early childhood--perhaps age six to twenty seven months."[2] Sullivan later developed a concept of this interpersonal process as "a manifestation of an indefinite--that is, not yet defined--interpersonal process to which I apply the term empathy."[3] The emotional linkage, contagion or communion between the infant and other significant people (the mother or the nurse) was felt to be communicated even prior to the infant being mature enough to perceive through overt expressions of emotion, understanding of speech, or

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[1] Ibid., p. 53.

[2] Harry Stack Sullivan, Conceptions of Modern Psychiatry (Washington, D. C.: W. A. White Foundation, 1947), p. 8.

[3] Sullivan, The Interpersonal . . . op. cit., p. 42.

awareness of self as separate from surroundings. These transmissions of the attitudes of those who care for him, especially the mother figure, are conveyed to him through the "prototaxic mode" of experience which is empathy.[1]

With humor, Sullivan by-passed further clarification simply by

> So although empathy may sound mysterious, remember that there is much that sounds mysterious in the universe, only you have got used to it; and perhaps you will get used to empathy.[2]

In a complex composite of feedback the infant consciously and unconsciously absorbs attitudes from others about himself.

> The groundwork for our ability to obtain access to another person's mind is laid by the fact that in our earliest mental organization the feelings, actions, and behavior of the mother had been included in our self. This primary empathy with the mother prepares us for the recognition that, to a large extent, the basic inner experiences of people remain similar to our own. Our first perception of the manifestations of another person's feelings, wishes, and thoughts occurred within the framework of a narcissistic conception of the world; . . . and remains to some extent associated with the primary process.[3]

The quality of pleasant or unpleasant communication empathically perceived affects the development of empathy in the child.

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[1] Ibid., p. 42.

[2] Ibid., pp. 42-43.

[3] Kohut, op. cit., p. 262.

> In early infancy the feeling states which a young infant empathizes from others occur before his development permits cognitive extraction of meaning, although he is profoundly affected by the experience.[1]

While the infant is in the earliest months of life, the mother is still a part of himself, experienced by the infant as being the same, received in communication from his mother through closeness of body contact in a passive-receptive state. During this presymbolic time, the infant, subject to communication incorporates an inarticulable impress of mother in what is to be deep body-memory.[2] While he is looking on himself as an object he must act toward himself as he acts toward other objects, other people.

As the infant becomes more able to differentiate self from mother, he receives cues to feelings and values through further empathic experience.

We see that empathy is an important part of the process of the formation of self-concept. G. H. Mead points out that "The self, as that which can be an object to itself, is essentially a social structure, and it arises in social experience."[3] Through an elaborate organization of experiences, the infant incorporates patterns whose elements

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[1]Rose Spiegel, "Specific Problems of Communication in Psychiatric Conditions," American Handbook of Psychiatry, ed. Silvano Arieti (New York: Basic Books, 1959), II, p. 911.

[2]Ibid., p. 921.

[3]Mead, op. cit., p. 140.

were originally perceived as details of other people's behavior by cathexis and identifications. Within these reactions to emotional relations with other people, there is development of the ego, the self, and the personality.

Rioch discussed empathy as "a process by which the infant discovers the reference points which help determine his emotional attitude toward himself."[1] There seems to be at work in the empathic experience of oneness with the mother not only the development of a concept of self, but a factor of self-esteem. The infant in alert sensitivity to feelings may introject feelings of self-valuing or self-devaluation through transference to himself as object the attitudes perceived in the primal relationship. Though an infant who has known a hostile and rejecting mother may become a hostile and cynical person, it is also possible that he may reverse and become a person constantly striving to overcome the hostility of interpersonal relationships through over-striving or over-achievement.

What happens to the inborn capacity of empathy through the span of recurring interpersonal situations of human life which influence the personality? Since empathy is an innate part of the human psyche, it "remains to some

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[1]Janet MacKenzie Rioch, "The Transference Phenomenon in Psychoanalytic Therapy," A Study of Interpersonal Relations, ed. Patrick Mullahy (New York: Grove Press, 1949), pp. 83-84.

extent associated with the primary process."[1] Halpern and Lesser clearly state this process in detail.

> If the infant's most frequent somatic experiences through empathy have been pleasant (euphoria and a reduction of tensions) it may be expected on the basis of reinforcement learning theory (or the pleasure principle) that his use of empathy will be rewarded and he will tend to further develop this form of communicative reception. If, however, empathy has led to unpleasant somatic experiences--no reduction of tension or increased tension--the infant's tendency to empathize will be consequently extinguished. And, most important, the infant's learned empathic "attitude" will not be restricted to the reception of cues from the mothering one but will be applied, through stimulus generalization (transference) to all other persons. Theoretically, the infant's generalized "attitude" could range from complete openness to empathic communication to complete rejection of it.[2]

Greenson felt that empathy "is a capacity which everyone has had but has often lost as the result of anxieties, insecurities, and inhibitions."[3] Zderad concluded that "an individual's ability may diminish through lack of use or be hindered by psychic or physiological factors."[4]

Driver adds further thought in a view which presupposes that empathy is developed through role-taking.

> Although many adults are not mentally ill because of their lack of empathy, they tend to have constricted, inflexible personalities. They would be better adjusted

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[1] Kohut, op. cit., p. 263.

[2] Howard M. Halpern and Leona N. Lesser, "Empathy in Infants, Adults and Psychotherapists," Psychoanalysis and the Psychoanalytic Review, XLVII, 3 (1960), pp. 33-34.

[3] Greenson, "The Classical . . .," op. cit., p. 1412.

[4] Zderad, op. cit.

> and happier if they could share with others through empathic action--losing themselves in the lives of others more frequently. Sometimes a self-centered individual seems to be feeding on himself so that his personality withers rather than growing through nourishment it could receive from human relationships and interpersonal stimuli. Empathic activity initiated in childhood as natural imitative play should be continued during adulthood in one form or another to keep a person flexible, spontaneous, mentally youthful, and spiritually accessible to his fellow men.[1]

A unique evaluation of the quality of empathy is presented by Greenson when he says that it

> is a special kind of nonverbal, preverbal closeness which has a feminine cast; it comes from one's motherliness, and man (and women too) must have made peace with their motherliness in order to be willing to empathize. . . .People who are empathizers are always trying to reestablish contact.[2]

He further suggests that empathizers must regress to empathic contact and then be able to rebound from it. Within the field of practical utilization of theory, Greenson deals with discussion of empathy and mustrust within student psychiatrists. He points out that some students have difficulty in recognizing affects and motives and are unable to feel along with their patients, do not anticipate via empathy, and may have a "deep mistrust of their feelings, impulses and their unconscious."[3]

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[1]Driver, op. cit., pp. 106-107.

[2]Greenson, "That 'Impossible' . . .," op. cit., p. 16.

[3]Ralph R. Greenson, "Empathy and Its Vicissitudes," International Journal of Psychoanalysis, XLI (1960), pp. 418-424.

The most complete view of the deficient use of empathy within the adult years has been expressed as follows:

> Because of its roots in this primitive stage of oneness, its later use (both unconscious and deliberate) is fraught with dangers. The more or less well-defined self fears the loss of its acquired boundaries, and in the process of empathy, if he permitted himself to experience it, he would be "lost" and again merged with the "other." Perhaps this is the reason why many adults are afraid to make use of their inborn capacity for empathic contact with others and have to blunt the sharpness of this, their basic tool as human beings. . . .When empathy becomes the function of a well-differentiated self, it is marked by the greater ease with which the boundaries and the clear-cut differentiation can be given up for the purpose of gaining knowledge about the other. The recovery of those "structures" temporarily abrogated, occurs with equal ease in those whose individuation and differentiation have reached an optimum. When this is not the case, rigid defenses against and squelching of the capacity for empathy more or less block this important road to meaningful knowledge about others. Such people cannot empathize.[1]

Halpern and Lesser theorize that there is a "selective empathy" developed within the experience of an infant with his mother, which "will influence the type of people or the type of human situations in which he will be most and least empathic."[2]

Robert Katz posits, "It is an a priori assumption that empathy, as cognition and as an affective state, is correlated with psychological well-being."[3] He further describes the healthy individual as one who

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[1]Ornstein and Kalthoff, op. cit., pp. 408-409.

[2]Halpern and Lesser, op. cit., p. 33.

[3]Robert L. Katz, Empathy (New York: Free Press, 1963), p. 112.

> has the capacity for objective understanding, both of others and of himself and enjoys the sense of psychological security that comes from such accurate and reliable knowledge. At the same time his subjective needs for giving love to others and for receiving acceptance from them are adequately met. He has a sense of relatedness to himself and to others and enjoys the gratifications of self-respect and of the respect and intimacy he recognizes that others feel for him. His psychological equilibrium is maintained through the full exercise of his empathic capacities.[1]

Summary

To briefly summarize the development of empathy, we note that empathy is an innate capacity, which unfolds or is blocked in the infant-mother interaction, and which sets the stage for the individual's probable types of interpersonal experiences. In preverbal and presymbolic experiences, the infant is influenced by cues to feelings about himself and others, and begins tentative self-concept and communication patterns. Early stimuli toward self-acceptance or self-devaluing plus openness or rejection of others may influence the future personality stance and the choices of persons or situations with whom the individual will empathize.

Nature of Empathy

Though there seems to be no one commonly accepted definition of empathy, a synthesis of numerous views of

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[1] Ibid., p. 114.

empathy led Zderad to define empathy in a broad, philosophical mode as:

> . . . man's movement toward oneness with the other by sharing the other's being in a situation. It is conceived as a "human" phenomenon, i.e., an expression of the whole man and a reflection of the human condition. It is an act of an individual responding on various operational levels as a unitary being to the persons and things in his situation.[1]

Kroeber defines empathy saying, "A positive form of sensitivity would be empathy, the ability to appreciate how another person feels." In listing "Mechanisms and Their Manifestations" Kroeber has a unique slant on sensitivity, projection and empathy. He charts thus:

Mechanism:	Sensitivity:	Apprehension of another's unexpressed feelings or ideas.
As a Defense:	Projection:	Unrealistically attributes an objectionable tendency of his own to another person instead of recognizing it as part of himself.
As a Method of Coping:	Empathy:	Puts himself in the other person's place and appreciates how the other fellow feels.[2]

Empathy "implies that I experience in myself that which is experienced by the other person and hence that in this

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[1] Zderad, op. cit.

[2] T. C. Kroeber, "The Coping Functions of the Ego Mechanisms," The Study of Lives, ed. R. W. White (New York: Atherton Press, 1963), pp. 520-521.

experience he and I are one."[1] This capacity to feel "at-oneness" with one's fellows has implications of interaction in the sharing, interpersonal relationship.

In order to more clearly understand the nature of empathy, beyond the scope of generalized definitions, we will need to look at some of the factors within its nature: interaction, role-taking, and inference theories.

Interaction Factors of Empathy

We have seen that empathy, rooted in the experience of oneness with the mother, develops through interaction, and serves as an extremely important mode of relating to others all through life.

> Empathy is a special variety of intimacy with another human being. . . .Empathy means to share, to experience partially and temporarily the emotions of another person.[2]

Greenson had more fully explained previously:

> Empathy refers to the capacity of a human being to share in the feelings of another person, to experience, in effect, his feelings. One shares in this experience in quality but not in degree, in kind, but not in quantity. It is a procedure which one permits oneself to engage in temporarily and for the purpose of understanding. It is primarily used for understanding subtle emotions which are not fully conscious.[3]

Sullivan, in developing the interpersonal theory of psychiatry, posited that the psychiatrist is more than an

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[1]Fromm, op. cit., p. 82.

[2]Greenson, "That 'Impossible' . . .," op. cit., p. 11.

[3]Greenson, "The Classical . . .," op. cit., p. 1412.

observer, and is a vital participant in an interpersonal situation. He developed the concept of the therapists as "participant observer."[1]

Greenson pointed out later that there is an important interaction factor in empathy when he said

> Empathy is to some extent a two-way relationship. One's capacity for empathy can be influenced by the other person's resistance or readiness for empathic understanding. . . .Patients eager for empathic understanding increase the empathy in the therapist. Also, patients pick up the analyst's lack of empathy.[2]

Rollo May asserts "This capacity for consciousness of ourselves gives us the ability to see ourselves as others see us and to have empathy with others."[3]

The goal of the interaction for "understanding" the other is seen by Fenichel, who feels that

> empathy consists of two acts: (a) an identification with the other person, and (b) an awareness of one's own feelings after the identification, and in this way an awareness of the object's feelings.[4]

Chessick[5] accepted and used Fenichel's definition in current empathy research.

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[1]Sullivan, The Interpersonal . . . op. cit.

[2]Greenson, "Empathy and . . .," op. cit., pp. 418-424.

[3]May, Man's . . ., op. cit., p. 75.

[4]Otto Fenichel, Psychoanalytic Theory of Neurosis (New York: W. W. Norton, 1945), p. 511.

[5]R. D. Chessick, "Empathy and Love in Psychotherapy," American Journal of Psychotherapy, XIX (1965), pp. 205-219.

Though some authors have identified Stewart with a view that "empathy is mutual transference," it becomes evident upon closer reading that Stewart sees empathy as "a deliberate identification with the other while promoting clearer insight into oneself."[1] In this light, Stewart, in a way similar to Fenichel, sees within this act of human behavior that interaction is in process not only for understanding of the other, but includes the possibility of a "mutual empathy,"[2] and an increased self-awareness. Jourard had this element in view when he said,

> Empathy with others--the capacity to form an accurate imaginative picture of the present subjective state of the other person in a transaction--improves with insight into oneself.[3]

At another point, Jourard states, "Empathy involves the correct interpretation of cues which reflect the feelings and wishes of the object."[4]

Going one step beyond the goal of understanding, some definitions include a view of an intellectual, objective and detached process. English and English define empathy as:

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[1]David A. Stewart, "Empathy, Common Ground of Ethics and of Personality Theory," Psychoanalytic Review, XLII (1955), p. 132.

[2]Ibid.

[3]Sidney M. Jourard, Personal Adjustment: An Approach Through the Study of Healthy Personality (2d ed.; New York: Macmillan, 1963), p. 286.

[4]Ibid., p. 368.

> Apprehension of the state of mind of another person without feeling (as in sympathy) what the other feels. While the empathic process is primarily intellectual, emotion is not precluded, but it is not the same emotion as that of the person with whom one empathizes. . . . The attitude in empathy is one of acceptance and understanding, of an implicit "I see how you feel."[1]

This objective and detached view is expressed by Ruth C. Cohn thus:

> Empathy is a spontaneous feeling for somebody else, a feeling that puts one into the feeling world of another human being as if "I were he," yet, paradoxically, "leaving me intact as my being me, feeling within me how he feels." It is a specific human capacity--to be oneself and yet to cross the feeling border to the other person. . . .It is this quality that makes a good educator, friend, and psychotherapist; to feel with the other--yet to remain oneself. . . .Empathy and intuition function if we can feel with other persons without sacrificing our own integrity.[2]

Looking further at a unified approach of goals of "understanding" plus utilization of an "intellectual, objective and detached process" there comes a process of "diagnostic understanding" which is not equated with empathy but includes it.

> Empathy is the mode by which one gathers psychological data about other people and, when they say what they think or feel, imagines their inner experience even though it is not open to direct observation. Through empathy we aim at discerning, in one single act of certain recognition, complex psychological configurations which we could define only through the laborious

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[1]N. B. English and Ava C. English, A Comprehensive Dictionary of Psychological and Psychoanalytical Terms (New York: Longmans, Green and Company, 1958), p. 178.

[2]Ruth C. Cohn, "Training Intuition," Ways of Growth, eds. Herbert Otto and John Mann (New York: Grossman, 1968), pp. 167-177.

> presentation of a host of details or which it may even be beyond our ability to define.[1]

Lehman introduces his definition of empathy with a strong limitation regarding its use in diagnosis:

> EMPATHY. This method of obtaining diagnostic information I reserved for the psychiatrist. It may be defined as the immediate sensing of another person's emotional state within the context of an interpersonal relationship. Using one's own emotional response to the patient as a diagnostic tool is a legitimate procedure in psychiatry, because anyone trying to make a diagnosis in this branch of medicine must deal with human ailments which are rooted in human conditions transgressing the merely biological aspects of the system he is attempting to evaluate.[2]

The definition which is given by the American Psychiatric Association states that

> Empathy is an objective and insightful awareness of the feelings, emotions and behavior of another person, their meaning and significance. To be distinguished from sympathy, which is usually nonobjective and noncritical.[3]

This view includes the goals of understanding, objectivity and diagnostic ability. An essentially similar, slightly modified wording reflecting the APA is used by Albert Duetsch in defining empathy.[4]

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[1]Kohut, op. cit., p. 261.

[2]Heinz E. Lehmann, "Empathy and Perspective or Concensus and Automation? Implications of the New Deal in Psychiatric Diagnosis," Comprehensive Psychiatry, VIII, 5 (1967), p. 268.

[3]American Psychiatric Association, A Psychiatric Glossary (2d ed.; Washington, D. C.: American Psychiatric Association, 1964), p. 30.

[4]Albert Deutsch (ed.), The Encyclopedia of Mental Health (6 vols.; New York: F. Watts, Inc., 1963), VI, p. 2123.

> An objective and insightful awareness of the feelings, emotions, and behavior of another person, and their meaning and significance. To be distinguished from sympathy, which is nonobjective and usually noncritically emotional.

The interaction factor of empathy includes for some authors not only "understanding" plus "intellectual, objective and detached" elements but also "communication." Rogers feels

> . . .it is the counselor's function to assume in so far as he is able, the internal frame of reference of the client, . . . and to communicate something of this empathic understanding to the client.[1]

Buchheimer, Goodman and Sircus defined empathy as

> The ability to structure the world as another person sees it; i.e., the counselor's task is to feel, to react and to interpret the counselee's world as he sees it without the counselor's enactment of these perceptions as if he were the counselee.[2]

Truax and Carkhuff defined empathy generally as accurate "sensitivity to current feelings and the verbal facility to communicate this understanding in a language attuned to the patient's current being."[3]

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[1]Carl R. Rogers, Client-Centered Therapy (Boston: Houghton Mifflin Co., 1951), p. 29.

[2]Arnold Buchheimer, J. Goodman and C. Sircus, Videotapes and Kinescope Recordings as Situational Tests and Laboratory Exercises in Empathy for the Training of Counselors, A Technical Report submitted to the U. S. Office of Education, NDEA Grant No. 7-42-0550-1670 (New York: Hunter College of the City University of New York, 1965).

[3]Charles B. Truax and Robert R. Carkhuff, "For Better or For Worse: The Process of Psychotherapeutic Personality Change," Recent Advances in Behavioral Change (Montreal: McGill University Press, 1963), p. 8.

Kagan, Krathwhol and Farquhar looked at a more restricted trait of empathy which they called "affective sensitivity" and defined as

> the ability to detect and describe the immediate affective state of another, or in terms of communication theory, the ability to receive and decode affective communication.[1]

Campbell utilized this definition as he developed an instrument involving a multiple-choice scale to measure affective sensitivity, a restricted trait of empathy.[2] This measure brings theoretical concepts into an operational process by which the subjects being tested for empathic ability level are able objectively to infer from recorded scenes the feelings involved in counselor-client interaction, then abstract from the viewing to a test response. Studies of "affective sensitivity" as a principal component of empathy seem to help narrow the field of focus.

Some authors use the phrases "affective sensitivity" and "interpersonal sensitivity" as interchangeable with and the same as "empathy." Berlew feels that

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[1]Kagan, Krathwohl and Farquhar, op. cit.

[2]Robert J. Campbell, "The Development and Validation of a Multiple-Choice Scale to Measure Affective Sensitivity (Empathy)," (unpublished Ph.D. dissertation, Michigan State University, 1967).

> Interpersonal sensitivity implies empathy, understanding, ability to judge others, sensitivity to other people, and other similar concepts.[1]

An outstanding leader in the field of communications, David K. Berlo, begins by seeing empathy as "the process through which we arrive at expectations, anticipations of the internal psychological states of man."[2] He points out that "success in projecting ourselves into other people's personalities is complicated by factors affecting empathy."[3] That projection is conceived by Berlo as a part of empathy is of interest, since the observations he subsequently makes do not seem to involve factors of projection:

> As group size increases, empathic accuracy decreases. . . .When prior communication is minimal, empathic accuracy decreases. . . .When we are insensitive to the behavior of others, empathic accuracy decreases. . . .When we are not motivated in the communication situation, empathic accuracy decreases.[4]

These observations seem truer in the light of his original definition than they do when he adds the element of projection. Berlo summarizes:

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[1]David E. Berlew, "Interpersonal Sensitivity and Motive Strength," Journal of Abnormal and Social Psychology, LXIII, 2 (1961), pp. 390-394.

[2]David K. Berlo, The Process of Communication (New York: Holt, Rinehart and Winston, Inc., 1960), p. 120.

[3]Ibid., p. 134.

[4]Ibid., pp. 134-135.

> Empathy is a useful approach to communication effectiveness. When empathic attempts are reciprocal, when we interact, we have reached the ideal communication situation. When the situation is appropriate, interaction probably is more effective than any other approach to communication. When the situation is not appropriate, we need other bases for our predictions.[1]

Role Taking Factors of Empathy

The concept of empathy as a personality variable was introduced in the term Einfühlung used by Lipps[2] at the turn of the twentieth century. Lipps's term was basically translated to become "empathy"[3] though it has been variously translated as "feeling oneself into,"[4] "feeling into,"[5] or "a feeling of oneness."[6] According to Lipps:

> Empathy is the condition of joy in the inner state of another as observed in his expression. . . .I am joyful with him whose joy I see in his expressive movements, I experience it immediately in observing his expression, unless such joy contradicts my own nature. I do this the more surely the more freely I contemplate his expressive movements, undistracted by irrelevant thoughts and interests. Also, I enjoy observing the anger or

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[1] Ibid., p. 135.

[2] Theodore Lipps, Leitfaden der Psychologie (Leipsig: W. Englemann, 1903), I, p. 111.

[3] E. G. Boring, A History of Experimental Psychology (New York: Appleton-Century, 1929).

[4] Allport, op. cit., pp. 530-533.

[5] Kenneth Gompertz, "The Relation of Empathy to Effective Communication," Journalism Quarterly, XXXVII (1960), pp. 533-546.

[6] B. Katz, "Predictive and Behavioral Empathy and Client Change in Short-Term Counseling" (unpublished doctoral dissertation, School of Education, New York University, 1962).

> pain of another when I can participate in it freely, i.e., when my own inner nature is freely expressed in such anger or pain.[1]

Strunk points out that "The flexibility of the German language will present complex barriers to the worker who demands a complete and accurate English definition of the empathic process." He states that the term Einfühlung means in the German "a primitive, reflex process."[2] Lipps had illustrated that an observer often mimics the acrobat's movements, thus expressing his empathy unwittingly through imitative behavior. The resultant kinesthetic sensations within the observer arouse an awareness of the other's feelings, giving the impression of a direct intuitive knowledge of the other.[3] Later Lipps experimented with optical illusions[4] and suggested that the observer seems to be inclined to project himself into the observed pattern. This comes very close to a psychology of association. Arnold evaluates:

> Obviously, Lipps's explanation is based upon the James-Lange theory of emotions, which assumes that a feeling state is the awareness of organic sensations. We have shown before . . . that the awareness of organic

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[1] Lipps, op. cit., p. 111.

[2] Orlo Strunk, Jr., "Empathy: A Review of Theory and Research," Psychological Newsletter, XIX (1957), pp. 49-50.

[3] Ibid.

[4] Theodore Lipps, "Das Wissen von Fremden Ichen," Psychol. Untersuchungen, I (1907), pp. 694-722.

> sensations can never add up to feeling. Rather, feeling is a secondary reaction to a perceived state of functioning, accompanied by various bodily changes of which we become aware.[1]

Arnold shows that

> empathy in the strict sense means that we feel an impulse to move in the same way another person moves because we see ourselves in the same situation as he. . . .We imagine what the other would do out of our intuitive and reflective knowledge of him.[2]

There has arisen an unsophisticated, picturesque definition of empathy as "putting yourself in the other fellow's shoes." Many who utilize this concept do try to elaborate on it, as did Ornstein and Kalthoff in stating, "Empathy is a complex human capacity to put oneself into the other person's shoes and thus know 'directly' how he feels."[3] Robert Katz broadened the simple concept:

> When we experience empathy, we feel as if we were experiencing someone else's feelings as our own. We see, we feel, we respond, and we understand as if we were, in fact, the other person. We stand in his shoes. We get under his skin.[4]

In further sophisticated statements of the role taking factor in empathy, we find Reik saying,

> In order to comprehend the unconscious of another person, we must, at least for the moment, change ourselves into and become that person.[5]

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[1]Magda B. Arnold, Emotion and Personality (2 vols.; New York: Columbia University Press, 1960), II, p. 316.

[2]Ibid., pp. 354-355.

[3]Ornstein and Kalthoff, op. cit., p. 407.

[4]Robert Katz, op. cit., p. 3.

[5]Theodore Reik, Listening with the Third Ear (New York: Grove Press, Inc., 1948).

Rogers describes the process of role taking within the counseling situation by saying,

> To be of assistance to you I will put aside myself--the self of ordinary interaction--and enter into your world of perception as completely as I am able.[1]

The "role taking" concept of empathy is stated in some literature with the alternative term of "role playing," and sometimes these terms are lumped together. "Role enactment" is used by Sarbin with a discussion of "the as if dimension" of role enactment. Separated from this is a section on "Skill in Taking-The-Role-Of-The-Other."[2]

Coutu differentiates very carefully between the sociological concept of role-playing and the psychological concept of role-taking. He believes that it is role-taking which enables a person momentarily to pretend that he is another person.

> While he is "being" that person, i.e., acting like him verbally or empathically, or both, he gets an insight into how that person probably views a given situation . . .role-taking is primarily a communicating mechanism, whereas role-playing is only indirectly so. Role-taking involves thinking and feeling as one believes the other person thinks and feels--a form of empathy or of what might be called synconation.[3]

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[1]Carl R. Rogers, "The Attitude and Orientation of The Counselor in Client-Centered Therapy," Journal of Consulting Psychology, XIII (1949), p. 89.

[2]Theodore R. Sarbin, "Role Theory," Handbook of Social Psychology, ed. Gardner Lindzey (2 vols.; Reading, Mass.: Addison-Wesley, 1954), pp. 223-258.

[3]Walter Coutu, "Role-Playing vs. Role-Taking: An Appeal for Clarification," American Sociological Review, XVI (1961), pp. 180-187.

Driver,[1] who had believed that "empathic ability initiated in childhood as natural imitative play should be continued during adulthood in one form or another . . ." perceived "role-playing" as useful for teaching empathy and interpersonal skills or for teaching empathic and social skills.

Berlo believes that the role-taking theory of empathy "suggests that the concept of self does not determine empathy. Rather, communication produces the concept of self and role-taking allows for empathy."[2]

Though sociologist G. H. Mead described what we have referred to as empathy in terms of "sympathy" there is familiar phrasing,

> The attitude that we characterize as that of sympathy springs from this same capacity to take the role of the other person with whom one is socially implicated. Sympathy always implies that one stimulates himself to his assistance and consideration of others by taking to some degree the attitude of the other person whom one is assisting. The common term for this is "putting yourself in his place."[3]

Inference Theory of Empathy

According to Berlo, the inference theory

> assumes a concept of self, and suggests that we empathize by using the self-concept to make inferences

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[1]Driver, op. cit., pp. 107, 110, 111.

[2]Berlo, op. cit., p. 127.

[3]Mead, op. cit., p. 366.

> about the internal states of other people. Inference theory suggests that the self-concept determines how we empathize.[1]

Though some authors suggest that Lipp's empathy becomes "kinesthetic inference" and belongs in the inference theory, he did stress an objective reference, and this "'otherness' is an inherent attribute in empathy, marking it off from the ordinary process of inference."[2] Allport further noted that:

> Like Lipps, Mead agrees that the empathic art presupposes the consciousness of another self, and that this other self as given becomes intentionally the object of knowledge.[3]

It would seem that Lipps's theory of empathy would best be included in the role taking theory of empathy.

An early attempt to operationalize Lipps's concept of empathy within the scope of motor mimicry and within the "kinesthetic inference" was done by Kate Gordon.[4] Though there was demonstration of empathic responsiveness, there was no valid measure of empathic ability or levels of empathic response.

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[1]Berlo, op. cit., p. 127.

[2]Gordon W. Allport, Pattern and Growth in Personality (New York: Holt, Rinehart and Winston, 1961), p. 534.

[3]Ibid.

[4]Kate Gordon, "A Device for Demonstrating Empathy," Journal of Experimental Psychology, XVII (1934), pp. 892-893.

Henry Clay Smith defined empathy as "the tendency of a perceiver to assume that another person's feelings, thoughts and behavior are similar to his own." He attempts to focus on "empathic accuracy, the ability to predict accurately in what ways we are like and in what ways we are unlike others."[1] Smith's over-all focus is upon "sensitivity . . . the ability to predict what an individual will feel, say, and do about you, himself and others."[2]

We will subsequently see that many of the studies of empathy by "predictive" methods are essentially inference, not often calling for much interaction component, and not involving role-taking. Buchheimer summarizes:

> The present thinking in the field of empathy defines it as a process comprising several dimensions. Behavior on these dimensions leads to a consistency of interaction between people. This interaction becomes increasingly covergent or confluent. The dimensions are in part affective and in part cognitive. The behavior is different from projection, attribution, or identification because it is more abstract, objective and generalized. An empathic reaction is not the reenactment of another person's feelings nor does it involve a judgment of another person's act. Empathy has an anticipatory quality. Though affective in part, empathy is an abstract and abstracting process.[3]

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[1]Henry Clay Smith, Sensitivity to People (New York: McGraw-Hill, 1966), p. 93.

[2]Ibid., p. 3.

[3]Arnold Buchheimer, "The Development of Ideas About Empathy," Journal of Counseling Psychology, X (1963), pp. 61-70.

Summary

Summarizing the nature of empathy, it is noted that empathy is an extremely important way of relating to others all through life. This feeling of "at-oneness" with others has implications of interaction in the sharing, interpersonal relationship.

The word "empathy" covers a variety of concepts within the interaction: (1) empathy with the goal of understanding the present affective state of the other, while viewing the other in an intellectual, objective and detached manner; (2) empathy utilized as a tool in diagnostic understanding; (3) empathy with the ability to communicate to the other through translating perceptions into language attuned to the other.

The concept of empathy as role-taking involves imitative behavior, in its utilization of Lipps's theory. In this concept it is assumed that communication produces the concept of self, implying that empathy could only be developed within the age of cognizance rather than in presymbolic infancy experiences.

The inference theory assumes a concept of self which could be influenced by the preverbal infancy relationships and allows making inferences about the internal states of other people. This concept appears to be within the focus of the theoretical framework of this present study.

Campbell, in developing a scale to measure "affective sensitivity" (empathy), utilizes the inference concept of empathy, allowing the subject to objectively infer the feelings of the client in a series of videotaped interaction scenes. This method of standardized empathy testing allows the inference to be abstracted into a response, anticipating what the clients' feelings were at the close of each scene, and selecting from multiple-choice alternatives for test response.

Measurement of Empathy

It is recognized that our system of values and our particular affiliation with a system of psychological thought greatly influence our interpretations of research.

The view of the "pure clinician" psychiatrist is aptly expressed by Lehman:

> Empathy which the scientist regards as the least reliable and least objective method of obtaining psychopathological data is, nevertheless, regarded by many clinicians as frequently the most valid. . . .The psychiatrist's experience of empathy in an individual encounter can never be satisfactorily reduced to measurable units, because of the continuous interplay and feedback during the encounter. . . .It would, therefore, be impossible to program a computer for this transactional system, since it would have to be based on a calculus of continuous reprogramming from second to second.[1]

On the opposite side of the coin is the researcher in the field of therapy who complains,

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[1]Lehman, op. cit., p. 269.

> . . .different writers select different factors as accounting for the major portion of the variance in therapeutic outcome. Since the research evidence is most often unreplicated, or even contradictory, and since there are still large unexplored areas, one can pick and choose among the scraps and fashion a patchwork quilt after one's own heart or theoretical commitment.[1]

As we have seen, within the field of empathy there exists a multiplicity of theoretical conceptualizations and definitions.

> One reason for this deficiency of valid empathy measuring instruments is that theorists and researchers not only have used different theoretical conceptualizations of empathy and the empathic process, but they also have often applied these theoretical definitions in ways bearing little apparent similarity to their theoretical statements. Thus, predictive tests of empathy using the generalized other approach, and situational tests of empathy have been found to have no relationship to each other.[2]

Gage and Cronbach, looking at the whole field of interpersonal perception, observed:

> Writers have inadequately specified just what they mean to measure or to what extent the variable they study overlaps the variables in other investigations. Thus one test of empathy finds out how accurately subjects predict the ratings acquaintances will give them. Another test of empathy requires the subjects estimate

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[1]Rosalind Dymond Cartwright and Barbara Lerner, "Empathy, Need to Change and Improvement with Psychotherapy," Journal of Consulting Psychology, XXVII (1963), pp. 138-144.

[2]Norman Kagan, et al., Studies in Human Interaction: Interpersonal Process Recall Stimulated by Videotape (East Lansing, Michigan: Educational Publication Services, College of Education, Michigan State University, RR-20, December, 1967).

> the musical preferences of the average factory worker. Not surprisingly, these tests correlate only .02.[1]

Predictive Studies of Empathy

In the earliest attempts to measure empathy, the procedure utilized was that of prediction of another person's (or group's) response on some kind of scale, inventory, or personality test.

Dymond, who in 1948 started a deluge of research on the measurement of empathy,[2] defined empathy as "the imaginative transposing of oneself into the thinking, feeling and acting of another and so structuring the world as he does."[3] She instructed students to rate themselves on traits of self-confidence, superiority, unselfishness, friendliness, leadership and sense of humor. Following this, students rated the five others in his interacting six-member group as those others would rate themselves; and finally, they rated themselves as they believed others would rate them. Dymond reasoned that a judge must

> transpose himself into the thinking, feeling and acting of others. If he can do this he should be able to

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[1] N. L. Gage and Lee J. Cronbach, "Conceptual and Methodological Problems in Interpersonal Perception," Psychological Review, LXII (1955), pp. 411-422.

[2] Rosalind F. Dymond, "A Preliminary Investigation of the Relation of Insight and Empathy," Journal of Consulting Psychology, XII (1948), pp. 228-233.

[3] Rosalind F. Dymond, "A Scale for the Measurement of Empathic Ability," Journal of Consulting Psychology, XIII (1949), pp. 127-133.

> predict how the others will behave in certain defined situations. The situation chosen to test this ability was the subject's ability to predict how others will rate themselves and how they will rate him on these six traits.[1]

Dymond then administered several attitude and/or personality tests to the judges, including the Rorschach, TAT, Wechsler-Bellevue, and California Ethnocentrism tests. After analysis of the data procured, Dymond concluded that persons high on empathy were:

> outgoing, optimistic, warm emotional people, who have a strong interest in others. They are flexible people whose emotional relations with others, particularly their early family relations, have been sufficiently satisfying so that they find investing emotionally in others rewarding. Their own level of security is such that they can afford an interest in others. While they are emotional people, their emotionality is well controlled and richly enjoyed.[2]

In contrast, those who scored low on empathy were judged

> rather rigid, introverted people who are subject to outbursts of controlled emotionality. They seem unable to deal with concrete material and interpersonal relationships very successfully. They are either self-centered and demanding in their emotional contacts or else lone wolves who prefer to get along without strong ties to other people. Their own early emotional relationships within the family seem to have been so disturbed that they feel they cannot afford to invest their love in others as they need it all for themselves. They seem to mistrust others, to encapsulate themselves and not to be well integrated with the world of reality.[3]

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[1] Ibid., p. 128.

[2] Dymond, "Personality . . .," op. cit., pp. 343-350.

[3] Ibid.

Dymond concluded that though the correlations were satisfactory, there was "hardly evidence on which to state that this is a valid test of empathic ability."[1]

Reactions to the original study done by Dymond are quite varied. Buchheimer, in a comprehensive review of the literature on empathy, totally accepted the study.

> Dymond's findings that empathy is possessed in different degrees by different people seems conclusive. Dymond also seems to furnish evidence that the development of empathy is a result of particular life experiences.[2]

Arnold refutes Dymond's supposition that a person can "transpose" himself into another person's activity, and points out that

> A prediction of how another would rate various traits (whether they are his or someone else's) depends on how well we know him and how adequately we can infer his picture of himself and of others from our knowledge.[3]

A close look at the composition and interaction of the groups within Dymond's study shows that the group congenial from the beginning had the highest empathy scores, while the group which had engaged in personal feuding from the beginning had the poorest scores on the first test and still poorer scores on the second test. Arnold points to the fact that

> This surely shows that people who like each other come to know each other better than people who dislike each

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[1] Ibid.

[2] Buchheimer, "The Development . . .," op. cit., p. 63.

[3] Arnold, op. cit., p. 355.

> other. . . .What Dymond seems to measure primarily is a person's knowledge of another, what could be called "understanding another,". . . .This is far removed from empathy proper.[1]

Arnold seems to feel that Dymond's studies and others which are predictive of another's actions are totally based on inference from prior knowledge of him.

Studies using procedures similar to Dymond's predictive-type empathy testing followed, some of which began to ask about other factors which might be involved in the results which were obtained.

Predictive Studies--Projection

A series of studies examined empathy and projection. Bender and Hastorf[2] proposed an operational definition of projection as the relation between a subject's self-rating and the rating he attributes to others. Questioning whether predictive tests measured empathy or merely were confounded by projection, Hastorf and Bender later used the Allport-Vernon Study of Values and obtained two scores: (1) Empathy Score--the difference between the prediction of the other's responses and the criterion (the other's actual test responses). (2) Projection Score--the difference between the prediction of the other's responses and the

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[1] Ibid., pp. 355-356.

[2] I. E. Bender and A. H. Hastorf, "The Perceptions of Persons: Forecasting Another Person's Responses on Three Personality Scales," Journal of Abnormal and Social Psychology, XLV (1950), pp. 556-561.

subject's own responses. They found projection was more frequently scored than empathy, and concluded that:

> Empathic ability . . . seems to be a combination of sensory, imaginative, and intellectual processes. Imitative factors, particularly of a kinesthetic nature, may well aid the process.[1]

Subsequently, Bender and Hastorf developed a "refined empathy score" by subtracting a subject's projection score from his total predictive score. After a test of forty two statements dealing with a person's attitudes and feelings toward various situations had been given, it was found that

> while raw empathy score was significantly correlated with similarity, the refined empathy score was not correlated with similarity. Furthermore, it was found that the refined empathy scores showed a fair degree of consistency, although the greatest consistency was shown by the projection scores.[2]

Other researchers made studies in an attempt to discriminate between empathy and projection.[3] One study of the relationship of rapport elements to the empathic

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[1] A. H. Hastorf and I. E. Bender, "A Caution Regarding the Measurement of Empathic Ability," Journal of Abnormal and Social Psychology, XLVII (1952), pp. 574-576.

[2] I. E. Bender and A. H. Hastorf, "On Measuring Generalized Empathic Ability (Social Sensitivity)," Journal of Abnormal and Social Psychology, XLVIII (1953), pp. 503-506.

[3] R. C. Cowden, "Empathy or Projection," Journal of Clinical Psychology, XI (1955), pp. 188-190. See also: R. M. Lundy, "Assimilative Projective Accuracy of Prediction in Interpersonal Perception," Journal of Abnormal and Social Psychology, LII (1956), pp. 33-38.

process included five variables which were assumed to be components of rapport: personal adequacy, emotional needs, self-projection, perceptual distortion, and "conscious awareness of others as unique individuals." The research reported that "Of these, self-projection was most related to empathic perception."[1]

Jackson and Carr, in contrast to some prior studies, found that their

> Results support the impression that the discrepency between one's prediction of the response of another and one's self-description is not a measure of projection and might better be interpreted as a measure of the feeling of warmth and closeness.[2]

Elements of the predictive tests which show results with conformity to social norms may well be projections. Lindgren and Robinson evaluated Dymond's test and found that subjects in making predictions tended to conform to social norms, that the reliability of the test was too low for predictive purposes, and that the validity of the test could be questioned. "It seems almost certain, therefore, that Dymond's measure of empathy was a measure of level accuracy."[3] Hastorf and Weintraub, utilizing the "refined

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[1]John A. Axelson, "The Relationship of Counselor Candidate's Empathic Perception and Rapport in Small Group Interaction," Counselor Education and Supervision, VI, 4 (1967), pp. 287-292.

[2]W. Jackson and A. C. Carr, "Empathic Ability in Normals and Schizophrenics," Journal of Abnormal and Social Psychology, LI (1955), pp. 79-82.

[3]H. C. Lindgren and J. Robinson, "Evaluation of Dymond's Test of Insight and Empathy," Journal of Consulting Psychology, XVII (1953), pp. 172-176.

empathy score" which Hastorf and Bender had developed, found that responses may have reflected a cultural norm, and thus empathy scores may only have measured conformity to the social norm by the judge and the object of empathy.[1] Hawkes and Egbert[2] looked at the realm of personal values in relationship to empathic response, as did Halpern.[3]

Borgatta felt that the bias of self-image error might have been operative in the Dymond-type predictive tests. Self-image error might cause a person rating himself to consider that he was high or low in certain qualities without paying attention to the qualities of others with whom he was being compared.[4]

Predictive Studies--Mass Empathy--
Generalized Other

Norman and Ainsworth developed a procedure for measuring empathy, and after administering two forms of the

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[1]A. H. Hastorf and D. J. Weintraub, "The Influence of Response Patterns on the Refined Empathy Score," Journal of Abnormal and Social Psychology, LI (1955), pp. 341-353.

[2]G. R. Hawkes and R. L. Egbert, "Personal Values and the Empathic Response: Their Interrelationships," Journal of Educational Psychology, XLV (1954), pp. 469-476.

[3]Howard M. Halpern, "Predictive Empathy and the Study of Values," Journal of Consulting Psychology, XXI (1957), p. 104.

[4]E. J. Borgatta, "The Stability of Interpersonal Judgments in Independent Situations," Journal of Abnormal and Social Psychology, LX (1960), pp. 188-194.

GAMIN Personality Inventory, asked the subjects two weeks later to answer the questions as they thought the majority of other people of their own sex and age would answer. Predictive testing of this nature was to achieve a mass empathy score, giving credit when the second test was answered the same way it had been answered by fifty one percent of the subjects on the first administration.[1] Norman made another later study looking specifically at the individual and mass empathy.[2]

The attempt to look at "mass empathy" was further made in a study by Speroff[3] which actually tapped a person's social information (his knowledge of general preferences in buying magazines, listening to music, and the like). He defined empathy as

> the ability to put yourself in another person's position, establish rapport, anticipate his feelings, reactions and behavior . . . empathy and role reversal are mutually complementary.

Buchheimer[4] felt that "With Speroff we arrive at a definition of empathy which is close to Murray's concept of

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[1]R. D. Norman and P. Ainsworth, "The Relationship Among Projection, Empathy, Reality, and Adjustment, Operationally Defined," Journal of Consulting Psychology, XVIII (1954), pp. 54-55, 58.

[2]R. D. Norman and W. C. Leiding, "Relationship Between Measures of Individual and Mass Empathy," Journal of Consulting Psychology, XX (1956), pp. 79-82.

[3]Boris J. Speroff, "Empathy and Role Reversal as Factors in Industrial Harmony," Journal of Social Psychology, XXXVII (1953), pp. 117-120.

[4]Buchheimer, "The Development . . .," op. cit., p. 64.

recipathy." Since Murray[1] was the first to describe empathy as an interactive process, and since Speroff's work was more a social guessing or predicting of a mass empathy, it would seem that though the definition may sound similar to Buchheimer, the Speroff studies do not reflect utilization of a similar concept.

Kerr and Speroff devised and produced the Empathy Test,[2] asking that subjects rank the popularity of different types of music for non-office factory workers, the kinds of magazines most enjoyed by average Americans, or the annoyance magnitude of different experiences. Kerr found empathic behavior to be independent of general intelligence and recognized social leadership. He found that such characteristics as out-going behavior and constructive social values are positively related to empathy. The test was utilized in industrial selection, and the authors reported "a five year research program in evaluation of the Empathy Test has resulted in the first standardized empathy instrument with useful validity and reliability."[3]

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[1]H. A. Murray, et al., Explorations in Personality (New York: Oxford University Press, 1938).

[2]Willard A. Kerr and Boris J. Speroff, The Measurement of Empathy (Chicago: Psychometric Affiliates, 1951). See also: Willard A. Kerr and Boris J. Speroff, The Empathy Test: Supplement to the Manual (Chicago: Psychometric Affiliates, 1951).

[3]Willard A. Kerr and Boris J. Speroff, "Validation and Evaluation of the Empathy Test," Journal of General Psychology, L (1954), pp. 269-276.

In a study of the Kerr-Speroff test, Patterson found no significant relationship between personality tests and the Kerr-Speroff test, which he proved does not measure empathy.[1]

A later adaptation by Kerr, with more elaborate content and scoring procedures, was called Primary Empathic Abilities Test and was designed to measure "factors": diplomacy, industrial urbanity, empathic ability with the insecure, conscientious middle class, lower middle class, stable young married people and upper social level.[2] Thorndike's review of this test states that he does not think that the purported factors are true factors and that, if this is so, the results from the Kerr empathy test are mostly meaningless.[3]

Though Kerr again revised his test, naming it the Diplomacy Test of Empathy, and purported to measure "profundity of understanding of others' feelings and tastes"[4]

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[1]C. H. Patterson, "A Note on the Construct Validity of the Concept of Empathy," Personnel and Guidance Journal, XL (1962), pp. 803-806.

[2]Willard A. Kerr, Primary Empathic Abilities: Manual of Instructions (Chicago: Psychometric Affiliates, 1957).

[3]Robert L. Thorndike, "Primary Empathic Abilities," The Fifth Mental Measurements Yearbook, ed. O. K. Buros (Highland Park, N. J.: Gryphon, 1959), p. 120.

[4]Willard A. Kerr, Diplomacy Test of Empathy (Chicago: Psychometric Affiliates, 1957).

through predictions by the subjects of the self-descriptions of a large variety of generalized others, the reviewers still found it an inadequate measure. Brayfield felt that "there are insufficient and inadequate data to believe that the construct 'empathy' has been isolated."[1] Hatch's review states:

> Most probably, the test simply provides scores which closely reflect the degree with which examinees possess attitudes similar to those of the generalized "others" for whom they are predicting, and if so, it is unwarranted to characterize examinees scoring high on the test as "empathic" or differentially sensitive in their interpersonal perceptions of others' attitudes and preferences.[2]

In spite of the reviews by test evaluators, these tests of empathy have been frequently utilized in industry, and are consistently listed in the test review books. Numerous research reports have been made by Kerr affiliated researchers, validating their own testing.

Bronfenbrenner et al.[3] conclude that the empathic process has two major components: sensitivity to the generalized other--knowledge of the norm or typical response

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[1]Arthur H. Brayfield, "Diplomacy Test of Empathy," The Sixth Mental Measurements Yearbook, ed. O. K. Buros (Highland Park, N. J.: Gryphon, 1965), p. 85.

[2]Richard S. Hatch, "Diplomacy Test of Empathy," The Sixth Mental Measurements Yearbook, ed. O. K. Buros (Highland Park, N. J.: Gryphon, 1965), p. 86.

[3]Urie Bronfenbrenner, J. Harding and M. Gallway, "The Measurement of Skill in Social Perception," Talent and Society, ed. D. McClelland et al. (Princeton, N. J.: Van Nostrand & Co., 1958), pp. 29-108.

of a group; interpersonal sensitivity--the judge discriminates individual deviations from the group norm. Individuals may differ in their ability to excell in one or the other of these components, which may account for some confusions within research. Bronfenbrenner also differentiates between: first-person sensitivity where the person predicts how the other feels toward the person; second-person sensitivity in which the person is required to estimate how the other feels toward himself; and third-person sensitivity in which the person predicts how a group of individuals feel toward a specific other.

Kepes[1] used some of the clarification above to select a focus on "second-person interpersonal sensitivity" (estimating how the other feels toward himself) in pre-training and post-training research. He gave six hours of training to college students in making differential predictions about people, presented the subjects, and gave detailed feedback and discussion after each effort at prediction. The success of the training was significant but there was small improvement, showing that practice and feedback are not enough in individual-accuracy training.

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[1]Sherwin Y. Kepes, "Experimental Evaluations of Sensitivity Training" (unpublished Ph.D. dissertation, Michigan State University, 1965).

Predictive Studies--Similarity

Halpern[1] explored the relationship between empathy and similarity, reporting,

> The data reflect a clear positive relationship between an individual's similarity to an acquaintance and his ability to make accurate predictions about him. Furthermore, predictive accuracy is greater when the individuals involved resemble each other in the specific areas of prediction than when they differ.

Due to the methodology of the study, Halpern was not able to conclude whether empathy as "predictive accuracy" was measured or whether the result "could be a function of the attribution of a subject's own traits to others rather than genuine sensitivity." He did propose that

> the factor of similarity may not be an artifact of the predictive method, as other experimenters have suggested, but that similarity may be a vital part of the empathic process. It may be that people can most readily recognize in others what they have experienced, on some level, in themselves.

In another study of empathy and similarity, Chance and Meaders, using the Edwards' Personal Preference Schedule, ascertained psychological needs of judges, and then tested for "both generalized accuracy of interpersonal perception and on the response set of assumed similarity." Judges were asked to predict what "target subjects" on two short interview tape recordings would say about themselves.

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[1]Howard M. Halpern, "Empathy, Similarity, and Self-Satisfaction," Journal of Consulting Psychology, XIX, 6 (1955), pp. 449-452.

> Each judge's predictive accuracy scores were obtained by counting the number of times his prediction for the targets corresponded with the targets' self descriptions.[1]

The authors summarized that the accurate judge

> is inclined to see himself as a person who is active and outgoing in social relationships, who likes other people but is not markedly dependent upon them, who is ascendant but not hostile and competitive, and who is not given to intellectual reflections about his interpersonal relationships. The picture is one of an individual who finds significant satisfactions in social activities and carries on his daily life with a minimum of interpersonal or intrapersonal conflict.[2]

It is stated that the findings of the study tend to corroborate those of Dymond in 1949 predictive studies.

In the study of assumed similarity, the judge who assumes a great deal of similarity between himself and others is seen as:

> a person describing highly developed need for social interactions although strongly tinged with dependence upon and conformity to the constraints that others impose.[3]

Judges who distorted by assuming low similarity were

> nonconforming, impatient with custom and authority, disinclined to plan and to accept schedules, wanting to be in the limelight, but not strongly motivated toward seeking contact with others, seeking new experiences, and preferring aggressive modes of behavior.[4]

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[1] June E. Chance and Wilson Meaders, "Needs and Interpersonal Perception," Journal of Personality, XXVIII (1960), pp. 200-210.

[2] Ibid., pp. 204-205.

[3] Ibid., p. 207.

[4] Ibid.

according to their self-descriptions. The summary of results of this study, as given by H. C. Smith, states

> low empathizers were expressive, dominating, independent, aloof, cool and aggressive; high empathizers were inhibited, submissive, dependent, gregarious, warm and unaggressive.[1]

Since Smith defines empathy as the "similarity we assume between ourselves and others"[2] he would see that high assumed similarity was equal to high empathy, though high projection may be a factor with which he did not deal in his evaluations.

Fiedler measured "assumed similarity," the efficiency with which a person can predict the reactions of others on the basis of his own.[3] In a leadership effectiveness study, Fiedler used paired personality adjective check lists of self and others, and found among high school basketball team members that

> leaders of effective groups perceived little similarity between their most- and least-preferred co-workers, i.e., they were psychologically distant from least preferred co-workers.[4]

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[1] Smith, op. cit., p. 99.

[2] Ibid., p. 22.

[3] F. E. Fiedler, "The Psychological Distance Dimension in Intrapersonal Relations," Journal of Personality, XXII (1953), pp. 142-150.

[4] F. E. Fiedler, "Leadership and Leadership Effectiveness Traits: A Reconceptualization of the Leadership Trait Problem," Leadership and Interpersonal Behavior, eds. L. Petrullo and B. M. Bass (New York: Holt, 1961), p. 183.

Another study relating leadership and empathy was done by Bell and Hall, who attempted to test the hypothesis that "the person selected as leader would have to be a person who was perceptive of the needs of group members."[1] They administered the Dymond and Kerr tests of empathy in groups of rather different populations and the results suggest to the authors that a significant relationship exists between leadership position, as measured by ratings of fellow group members, and empathy as measured by these tests. Though the Bell and Hall research shows a high level of confidence, the tests used have been previously evaluated as inadequate to measure what they purport to measure, thus negating the validity of the relationship of empathy and leadership which was tentatively suggested.

In looking at empathy, the assumption has been made that the accuracy of similarity would increase with those persons who were more familiar with each other.

A few studies have examined empathy in marriage. Taylor,[2] using symbolic-interactionism as a theoretical base, found that low discrepency between self-and-mate perception, empathic accuracy in self-perceptions, and

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[1]G. Bell and H. E. Hall, Jr., "The Relationship Between Leadership and Empathy," Journal of Abnormal and Social Psychology, XLIX (1954), pp. 156-157.

[2]Alexander B. Taylor, "Role Perception, Empathy and Marriage Adjustment," Sociology and Social Research, LII (1967), pp. 22-34.

intraindividual perceptions were related to marital adjustment. In a prediction test similar to Dymond's 1949 study, Notcutt and Sylva[1] scaled eighteen traits from Murray and had these checked by husbands and wives for self and other. The predictions of the other were significantly greater than chance, and successes were greater on traits where subjects made similar self-ratings. There was no correction made for the possible "projection" factor within this test. Dymond, in 1954, had marriage partners predict each other's answers to MMPI items, and found happy couples were significantly more accurate in their predictions of each other's answers than were the partners of an unhappy marriage.[2] The latter assumed significantly more similarity between their spouse and themselves than was warranted by fact. Happy couples gave more similar answers to the MMPI but did not deceive themselves about their differences. Though it could be believed that this

> indicates that mutual liking improves mutual understanding, such understanding is not the result of "empathy" (i.e., putting oneself in the other's place and looking at things as he does) but merely of loving him and knowing him.[3]

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[1]B. Notcutt and A. L. M. Sylva, "Knowledge of Other People," Journal of Abnormal and Social Psychology, XLVI (1951), pp. 30-37.

[2]Rosalind F. Dymond, "The Relation of Accuracy of Prediction of the Spouse and Marital Happiness," Canadian Journal of Psychology (September, 1954).

[3]Arnold, op. cit., p. 357.

Other Empathy Studies

Studies of empathy have looked at factors other than projection, self-image error and similarity. A study by Daane and Schmidt looked at MMPI personality variables and empathy and the authors suggest that the

> empathic person is more likely to experience self-self-conflicts rather than self-other-conflicts. . . .Empathic persons seemed to have higher neurotic and psychotic tendency scores on the MMPI than nonempathic persons.[1]

Lifton, using a population of music students for study, posited that empathy "is an interrelationship between two people and is dependent upon mutual agreement on the experience being shared."[2] Though this definition would call for study of empathy in an interaction process, and with "mutual agreement" would imply that there should be similarity, this is the first introduction of a need for commonality of perception focused on the at-hand experience.

Lifton did not test for either interaction or mutuality in his study, remained orthodox in his approach by using interpersonal ratings as a criterion, and then generalized seemingly inappropriately from his music student population to question whether counselors should be all

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[1]C. J. Daane and L. G. Schmidt, "Empathy and Personality Variables," Journal of Educational Research, LI (1957), pp. 129-135.

[2]Walter M. Lifton, "The Role of Empathy and Aesthetic Sensitivity in Counseling," Journal of Counseling Psychology, V (1958), pp. 267-275.

things to all people. It seems highly unlikely that in most counseling situations or settings there generally would be a "mutual agreement on the experience being shared" between the counselor and the counselee. The experience of the moment may be shared, but the perception of the purpose and focus of interaction in such a setting would be entirely differently perceived.

Concluding that "empathy is related to transparency of behavior," Foa had devised a study[1] of the intercorrelations among eight different kinds of empathy between 490 industrial workers and their respective foremen. Referring to the behavior of different individuals,

> The findings show that measures of empathy are uncorrelated, even when the guesses are made by the same subject and/or with reference to the responses of another given subject.[2]

This finding is in "disagreement with theories that empathy depends on the personality of the guesser or on the personality of the guessee." Foa felt that people are transparent in their behavior in varying degrees, and it is easier to guess the perception of persons if they are more transparent.

Luchins, representing the opposite view, found that "a person's understanding of others seems to depend on

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[1] U. Foa, "Empathy or Behavioral Transparency?," Journal of Abnormal and Social Psychology, LVI (1958), pp. 62-66.

[2] Ibid.

himself, on the others, and on field conditions." He pointed out that it is difficult to see how identification is necessary in all empathic responses, since this factor could not be at work in situations where the object of empathy is a group.[1]

Concern about the matter of anxiety comes up in some of the studies of empathy. Stotland and Dunn studied the empathic anxiety level of subjects as they watched another person in an anxious situation. They found that subjects who had an older sibling were more anxious than first-born or only children.

> The first and only born . . . react as if they only use the other person's performance level as a guide to self-evaluation and do not really "feel with" him.[2]

They also found that subjects who had high self-esteem identified more with the subject in trouble. "These results are reminiscent of the clinician's belief that only those who really love themselves can love others."[3]

Pierce[4] focused on the variables (1) anxiety about the act of communication and (2) the perception of empathy.

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[1]Abraham S. Luchins, "Variational Approach to Empathy," Journal of Social Psychology, XLV (1957), pp. 11-18.

[2]E. Stotland and R. E. Dunn, "Empathy, Self-Esteem, and Birth Order," Journal of Abnormal and Social Psychology, LXVI (1963), pp. 532-540.

[3]Ibid., p. 539.

[4]William Dallas Pierce, "Anxiety About the Act of Communicating and Perceived Empathy" (unpublished Ph.D. dissertation, The Ohio State University, 1967).

He found that if one has anxiety about the act of communicating to another person and this anxiety is reduced through use of a free interview, where the experimenter never interrupted the subject nor allowed more than five seconds of silence to elapse, then the other person will be perceived as more empathic than if the anxiety had not been reduced. Further, people in an empathic interview perceived the interviewer as more empathic than people in a non-empathic interview, and people in an empathic interview condition showed less anxiety than when in a non-empathic interview condition.

Cooper[1] focused research on empathy in the counseling situation, asking nurses to identify emotional meanings of taped verbal communications, and after correlation with other tests concluded that "The empathy tasks all share significant correlations with tasks of verbal facility and productivity." Schell[2] looked at job satisfaction in relation to empathic ability. Dymond had looked for changes in empathy with the factor of age;[3] however, neither of the

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[1]Lowell W. Cooper, "The Relationship of Empathy to Aspects of Cognitive Control" (unpublished Ph.D. dissertation, Yale University, 1967).

[2]William A. Schell, "A Study of Empathic Ability and the Validity of Some Indices of Job Satisfaction" (unpublished master's thesis, Michigan State University, 1954).

[3]Rosalind F. Dymond, A. S. Hughes and V. L. Raabe, "Measurable Changes in Empathy with Age," Journal of Consulting Psychology, XVI (1952), pp. 202-206.

measures used by Dymond seems to be a measure of empathy. One measure asks that a child ascribe emotions to a person in a picture; the other measure asks a child to recognize another's like or dislike of himself.

Summary

In summarizing the measurement of empathy, it must first be recognized that research studies of empathy have utilized differing procedures and scoring methods. Consistent and interrelated usefulness of prior studies is difficult to obtain or justify.

The research which attempts to measure empathy includes: predictive studies of empathy, predictive studies and projection, predictive studies and mass empathy (generalized other), as well as predictive studies and similarities. These predictive studies of empathy, whether the original Dymond-type studies, or those which have sorted out projection, cultural norm guesses about others, or mass empathy, have placed emphasis on the empathizer's skill in predicting how another person (or generalized group) would respond to personality measures[1] or to general behavior situations.[2]

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[1]Personality measures used by researchers include: Bender and Hastorf, Allport-Vernon Study of Values; Dymond (1949), Rorschach, TAT, Wechsler-Bellevue, California Ethnocentrism; Dymond (1954), MMPI; Livensparger, Strong Vocational Interest Blank; Chance and Meaders, Edwards' Personal Preference Schedule; Norman and Ainsworth, two forms of GAMIN Personality Inventory; Daane and Schmidt, MMPI; Rodgers, Gough's Adjective Check List.

[2]See studies by Kerr and research reports of Kerr and Speroff.

In the vast majority of these studies there is no interpersonal confrontation and interaction in process, and the guessing of others' responses is through paper-pencil tests. There is no evaluation of the empathizer's perception of the subtle nuances at work in the client-counselor process, and there is a consistent loss of focus on the interpersonal relationship inherent within the concept of empathy.

Predictive studies involve "guessing" about the other, often without the other present at all, and these studies seem to be highly vulnerable to projection, self-image bias, and ethnocentrisms, as shown by researchers.

Predictive research is essentially inference, which is congruent with the theory base referrent, but for purposes of this study, the prediction of another's behavior which may arise from projection and assumption of similarity to the predictor or his experience is not seen as valid. Research studies in which projection is the predominant factor in empathy seem to measure conformity to social or cultural norms, while studies of mass empathy (generalized other) measure social information by social guessing.

The perception of the immediate state of feeling in another person (affective sensitivity) in a situational test does not presuppose that the perceiver must have himself had similar experience in order to truly comprehend how another person feels about the experience.

Summary of Empathy

There is increasing agreement that empathy is an innate capacity which is unfolded or blocked in the infant's relationship to its mother. This early experience profoundly affects the individual's conception of the world and of himself, either positively or negatively, as well as influencing his capacity for empathic relationships with others. In later years, empathy may be diminished by psychic factors of anxiety, insecurity or inhibition. Many writers feel that empathy is most characteristic of persons who have developed self-awareness and insight into themselves, and who are able to accept and understand others and the immediate feelings of others while not sacrificing their own integrity.

Empathy is an extremely important mode of relating to others all through life, a capacity to feel "at-oneness" with one's fellows, with implications of interaction in the sharing, interpersonal relationship.

Though the importance of empathic ability for effective interpersonal communication, relationship and experiential process of change has been recognized in the literature, the use of the word "empathy" covers a great variety of concepts.

Different theorists in defining empathy include within the interaction the following elements: (1) empathy which includes the goal of understanding the present

affective state of the other while viewing the "other" in an intellectual, objective and detached manner; (2) empathy with the goal of diagnostic understanding; (3) empathy with the ability to communicate to the "other"--receive and decode the perceptions, and translate them into language attuned to the other.

The concept of empathy as role-taking involves imitative behavior, in its original translation from Lipps's theory. This concept assumes that communication produces the concept of self, includes the element of subjectivity as well as projection of self, and assumes similarity of experience. The role-taking theory of empathy implies that empathy could be developed only in cognizant later ages of childhood and youth and could not have developed in the preverbal infancy relationship experiences.

The inference theory assumes a concept of self which could be influenced by the preverbal early infancy relationships and is used "to make inferences about the internal states of other people."

The measurement of empathy has been inconsistent, with little interrelationship of the studies since they utilize varied theories, operational procedures and scoring methods. Predominantly the research has been through prediction of other persons' or groups' responses to personality measures or to general behavior situations. Correlations have been examined in relation to projection, mass

empathy, similarities, or cultural norm guesses with emphasis placed upon the predictor's skill, often with no interpersonal confrontation or interaction even similated.

Trust

Development of Trust

The word "trust" has been often used by philosophers, theologians, poets, psychiatrists, politicians, caseworkers, counselors, teachers, and throughout the society by "laymen." "Traditionally trust has been viewed as a somewhat mystical and intangible factor, probably defying careful definition."[1] Webster defines trust as "Assured reliance on another's integrity, veracity, justice, etc.; confidence."[2]

Students in the fields of psychiatry and child development have not developed the concept of trust in any breadth or scope, nor in any depth, with the exception of Eric Erikson.[3] From the field of social psychology, Morton Deutsch, who felt that "the concept of 'trust' and its related concepts are vital to the understanding both of social life and of personality development"[4] noted in 1958:

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[1]Kim Giffin, "The Contribution of Studies of Source Credibility to a Theory of Interpersonal Trust in the Communication Process," Psychological Bulletin, LXVIII (1967), pp. 104-120.

[2]Webster, op. cit.

[3]Erikson, Childhood . . . op. cit., see also Erikson, "Growth . . .," op. cit.

[4]Morton A. Deutsch, "Trust and Suspicion," Journal of Conflict Resolution, II (1958), pp. 265-279.

> Yet an examination of a half-dozen or more of the leading textbooks in social psychology (e.g., texts by Cartwright and Zander, Homans, Krech and Crutchfield, Lewin, Lindzey, Newcomb) reveals that the word "trust" does not appear in any of their indexes. So far as we know, the research summarized in this paper represents the first attempt to investigate experimentally the phenomena of trust.[1]

More recently in the studies of groups, group dynamics and interpersonal behavior in small group-centered process groups, there have been increasing numbers of experiences in "sensitivity training." Within the literature on T-groups (Training Groups) of the National Training Laboratory, Jack Gibb writes:

> A person can look at his goals only as he begins to trust himself. This growing self-trust makes self-awareness possible. Integration of group goals occurs only as rapidly as members build sufficient trust and awareness to verbalize openly their intrinsic goals.[2]

Later, Gibb and Gibb expressed more broadly their concept of trust.

> Trust, the primary ingredient of human growth, is a social process. For trust to grow, communication in depth and intimacy must occur. One cannot grow in isolation from loving and being loved. One must frequently communicate in depth of feelings with other growing beings. In order to grow, people must care, must be in psychological contact, and must live in depth. . . .Trust is the central process of growth and the resultant central value. The inevitable correlates of trust are openness, integrity, and freedom. Growing people prize for themselves and for others the processes

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[1] Ibid., p. 265.

[2] Jack R. Gibb, "Climate for Trust Formation," T-Group Theory and Laboratory Method, eds. Leland P. Bradford, Jack R. Gibb, and Kenneth D. Benne (New York: John Wiley and Sons, Inc., 1964), p. 283.

> of open, honest, spontaneous communication in depth; the integrity that accompanies congruence of motivations, feelings, and behavior; and the love that can occur among people who are truly free to live in interdependence.[1]

A number of writers within the field of "being" psychology and psychiatry seem both directly and indirectly concerned with the matter of trust as a part of the dialogue of living. The self-actualization concept used by Maslow[2] and added to by Shostrom,[3] the "fully functioning person" of Carl Rogers[4] and the literature of self-disclosure arising from Jourard's writing[5] all deal with the concept of trust.

Where does trust come from? Weigert mentions "innate trust,"

> Out of loneliness and anguish can arise a new inner security and a new integration on a deep and basic level. The patient's innate hope and trust gives

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[1]Jack R. Gibb and Lorraine M. Gibb, "Leaderless Groups: Growth-Centered Values and Potentialities," Ways of Growth, eds. Herbert Otto and John Mann (New York: Grossman Publishers, 1968), pp. 106, 107.

[2]Abraham H. Maslow, Toward a Psychology of Being (New York: D. Van Nostrand Company, Inc., 1962).

[3]Everett L. Shostrom, Man, the Manipulator (Nashville, Tenn.: Abingdon Press, 1967).

[4]Carl R. Rogers, "Toward Becoming a Fully Functioning Person," Perceiving, Behaving, Becoming, Yearbook, 1962 of the Association for Supervision and Curriculum Development (Washington, D. C.: National Education Association, 1962), p. 29.

[5]Sidney M. Jourard, The Transparent Self (New York: D. Van Nostrand Company, Inc., 1964).

> psychoanalysis a chance. Freud has pointed out that the patient is first touched by trust (Glaube) which is the child of love before he can gain rational understanding and insight.[1]

There is seemingly not a great deal of concern about whether or not trust is a part of the innate capacity of the individual within the majority of the writings.

Trust versus mistrust is the "basic learning of the oral stage."[2] The more adequate elaboration of the concept of trust as "the first task of the ego" is dealt with by Erikson.

> The firm establishment of enduring patterns for the solution of the nuclear conflict of basic trust versus mistrust in mere existence is the first task of the ego, and thus first of all a task for maternal care.[3]

Through development of trust the patterns of self-concept, self-esteem and interpersonal communication are influenced in vitally important ways which set the patterns of the life long adjustment of the individual in the family and community. "Failure in this sense of trust and confidence disrupts unity, disturbs empathy and communication."[4]

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[1]Edith Weigert, "Psychoanalysis as Therapy," Science and Psychoanalysis, ed. Jules Masserman, Vol. III, Psychoanalysis and Human Values (New York: Grune and Stratton, 1960), pp. 244-249.

[2]O. Spurgeon English and Gerald H. J. Pearson, Emotional Problems of Living (Rev.; New York: W. W. Norton, 1955), p. 44.

[3]Erikson, Childhood . . ., op. cit., p. 221.

[4]Ackerman, op. cit., p. 146.

> In adults the impairment of basic trust is expressed in a basic mistrust (which pervades much of what in psychiatry is called schizophrenia or paranoia). It characterizes individuals who withdraw into themselves in particular ways when at odds with themselves and with others.[1]

Robson observes that the early contingent maternal behavior

> may be the basis for establishing trust and the subjective sense of "meaning" (both of which in a sense are derivatives of events being predictable). Their early contingency experience may also determine the extent to which older children and adults rely upon and utilize non-verbal forms of communication such as eye-to-eye contact. . . .Alternatively, the glance as a means of communication may be totally abandoned, as in people who exhibit persistent gaze aversion or in "infantile autism."[2]

By contrast, if a child receives adequate trust building experiences and successfully completes this stage of development, he is free to enter the mature reaches of becoming. Having known acceptance in an affectionate environment he learns to accept himself readily, to tolerate the world around him, and handle the conflicts of later life in a mature manner.[3]

Erikson's formulation of the concept of basic trust has been quite thoroughly integrated into the literature of

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[1]Erikson, "Growth . . .," op. cit., p. 190.

[2]Kenneth S. Robson, "The Role of Eye-to-Eye Contact in Maternal-Infant Attachment," Journal of Child Psychology and Psychiatry, VIII (1967), pp. 13-25.

[3]Abraham H. Maslow, Motivation and Personality (New York: Harper, 1954).

human behavior[1] and is utilized in expanding areas of human experience and learning.[2] Erikson's clearest statement of the concept of basic trust is:

> For the first component of a healthy personality I nominate a sense of basic trust, which I think is an attitude toward oneself and the world derived from the experiences of the first year of life. By "trust" I mean what is commonly implied in reasonable trustfulness as far as others are concerned and a simple sense of trustworthiness as far as oneself is concerned. When I say "basic," I mean that neither this component nor any of those that follow are, either in childhood or in adulthood, especially conscious. In fact, all of these criteria, when developed in childhood and when integrated in adulthood, blend into the total personality. Their crises in childhood, however, and their impairment in adulthood are clearly circumscribed.[3]

Summary

To briefly summarize, trust is a vital social process, the patterns for which develop within the first few months of infant-mother interpersonal relationships. Adequate trust building experiences influence the individual's freedom to openly communicate with depth and spontaniety in future transactional learning experiences and interpersonal relationships.

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[1]Richard L. Vanden Bergh, "Loneliness--Its Symptoms, Dynamics and Therapy," Psychiatric Quarterly, XXXVII, 3 (1963), pp. 466-475.

[2]Ira J. Gordon, "The Beginnings of the Self: The Problem of the Nurturing Environment," Phi Delta Kappan, L, 7 (1969), pp. 375-378.

[3]Erikson, "Growth . . .," op. cit., p. 190.

Nature of Trust

It appears that the global concept of "trust" has within it two components: intrapersonal trust and interpersonal trust. Intrapersonal trust (intra-trust), it would seem, is necessary before interpersonal trust (inter-trust) can be expressed in relationship to others. Giffin notes,

> In the communication process, it appears that there are degrees of interpersonal trust as well as degrees of intrapersonal trust (trust of oneself).[1]

Intrapersonal Trust (Intra-trust)

The "simple sense of trustworthiness as far as oneself is concerned"[2] with which Erikson was grappling seems to be the concept of trust which he was depicting in descriptions of the development of basic trust within the first year of life. To simply call this "intra-trust" may enable more precise clarification.

That there are differential uses of the concept of trust is evidenced by Rotter,[3] who defined his concept of "interpersonal trust" and followed it with

> This definition clearly departs significantly from Erikson's (1953) broad use of the concept of basic trust which Erikson describes as a central ingredient to the "healthy personality".[4]

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[1] Giffin, op. cit., pp. 106-107.

[2] Erikson, "Growth . . .," op. cit., p. 190.

[3] Rotter, op. cit.

[4] Ibid.

Rotter does not seem to notice the aspect of interpersonal trust (inter-trust) which Erikson had included in his broad thinking of "basic trust."

The formation of intra-trust is a vital part of personality development, a step seemingly necessary in order to proceed to the inter-trust relationship.

> . . .what appears to be internalized is a system of interrelations between oneself and the other, including the norms which prescribe both what to expect from the other and how to act toward the other.[1]

To be open to trusting others and their experiences and to identify with them freely, one must be able to trust oneself (intra-trust), accepting one's own responses and enjoying an inner security. Weigert points out that,

> If instinctual impulses are concentrated on ego-syntonic and reality-confirming goals, the subjective emotional experience is that of confidence or trust. . . .Trust is not merely an emotion; it is a response of the total personality.[2]

That she is here dealing with the concept of intra-trust seems evident as she states,

> The openness of the individual to the future and to the encompassing world is reflected in the subjective experience of trust; a recoiling from the future and from the embracing world is subjectively experienced as an anguished loneliness.[3]

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[1]Morton Deutsch, "Trust, Trustworthiness and the F Scale," Journal of Abnormal and Social Psychology, LXI, 1 (1960), pp. 138-140.

[2]Edith Weigert, "Loneliness and Trust--Basic Factors of Human Existence," Psychiatry, XXIII, 2 (1960), pp. 121-131.

[3]Ibid., p. 122.

Rogers sees two elements to the sense of aloneness which strongly support the importance of "basic trust." Lack of intra-trust seems evident in this loneliness as he suggests:

> The first is the estrangement of man from himself, from his experiencing organism. . . .Thus we find man lonely because of an inability to communicate freely with himself.[1]

The development of intra-trust rather than a global "basic trust" appears to be the "first task of the ego." Fenichel says,

> The new-born infant has no ego. Precisely the functions that later constitute the ego and consciousness are not yet developed; the taking in of the external world (perception), the mastery of the motor apparatus (motility), and the ability to bind tension by counter-cathexis.[2]

As the infant recognizes that deprivation alternates with satisfaction, is helped trustingly to postpone his pleasure and to tolerate frustration, and sees mother as separate from self, the ego growth relinquishes pleasure for reality and increasing trust of self (intra-trust) emerges.

Intra-trust develops within the relationship of the infant to the mother and through the successful operation of each of the processes by which personality develops. Erikson clarifies the elusive answer to the maternal contributions when he says:

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[1]Carl R. Rogers, "The Loneliness of Contemporary Man," Review of Existential Psychology and Psychiatry, I, 1 (1961), pp. 94-101.

[2]Fenichel, op. cit., p. 34.

> . . .let it be said here that the amount of trust derived from earliest infantile experience does not seem to depend on absolute quantities of food or demonstrations of love, but rather on the quality of maternal relationship. Mothers, I think, create a sense of trust in their children by that kind of administration which in its quality combines sensitive care of the baby's individual needs and a firm sense of personal trustworthiness within the trusted framework of their culture's life style. This forms the basis in the child for a sense of identity which will later combine a sense of being "all right," of being oneself, and of becoming what other people trust one will become.[1]

The quality of the relationship is the theme of Erikson's concept. Further, it would seem that a cluster or syndrome of interrelated elements is here: the basis for a sense of identity, an attitude of euphoria, a self-concept, and the motivation for achievement seem to be outgrowths of the intra-trust.

The character and quality of the infant's earliest relationships influence the intra-trust during this pre-verbal period and "forms the basis in the child for a sense of identity."[2] That there is reciprocal patterning at work must be recognized, for child personality development is a two-way process, within the shared and sharing experiences which comprise normal life. Through introjection, the infant incorporates the loved external object (mother) within himself symbolically, and at the same time introjects the valuing of himself which he finds evidenced

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[1] Erikson, Childhood . . ., op. cit., p. 221.

[2] Ibid.

within the relationship. Within this sense of identity there is a developing sense of self, which Rogers sees as

> an organized configuration of perceptions of the self which are admissable to awareness. It is composed of such elements as the perceptions of one's characteristics and abilities; the percepts and concepts of the self in relation to others and to the environment. . . .[1]

The growing sense of self (self-concept) has within it the components of self-awareness, self-acceptance, self-esteem, and self-trust (intra-trust).

Clinical evidences of the lack of intra-trust are shown within varied categories of malfunctioning. Depression, schizophrenia, paranoia, anaclitic depression in the lonely deprived infant who is abandoned or neglected by his parents are a few of the outstanding examples of these categories. Within descriptions of depersonalization phenomena, characterized by acute, short attacks of painful feelings of unreality, fear of loss of control and fear of being alone, abandoned and rejected, it was pointed out that

> The observing self sees the participating self not just as painfully unreal but as untrustworthy, and justifiably so.[2]

Autism, described by Kanner[3] as a clinical condition of children, is shown by a retreat into fantasy, increasing

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[1]Rogers, op. cit., p. 501.

[2]James P. Cattell, "Depersonalization Phenomena," American Handbook of Psychiatry, ed. Silvano Arieti (3 vols.; New York: Basic Books, 1959, 1966), III, p. 90.

[3]Leo Kanner, In Defense of Mothers (Springfield, Ill.: C. C. Thomas, 1941).

rigidity and progressive isolation while there is insistence on sameness and routinization in all aspects of life experiences. Having achieved no adequate intra-trust, the child strives to hold reality stable in his world of things while unsure of inter-trust. Autism is seen as an equivalent to or possible forerunner of schizophrenia.

The schizoid person is cold, aloof, superior, detached. Anthony Storr points out[1] that the detachment is a defense against hostility and has its source in a distortion of love and trust in infancy which renders him forever fearing actual love "because it threatens his very existence."

In the perception of others and the environment, there is exploration of the environment and testing of its trustworthiness.

> The general state of trust, furthermore, implies not only that one has learned to rely on the sameness and continuity of the outer providers, but also that one may trust oneself and the capacity of one's own organs to cope with urges; and that one is able to consider oneself trustworthy enough so that the providers will not need to be on guard lest they be nipped.[2]

Rokeach, in discussion of a person's primitive beliefs, points out that these "represent his 'basic truths' about physical reality, social reality, and the

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[1]Anthony Storr, Human Aggression (New York: Atheneum, 1968), p. 85.

[2]Erikson, Childhood . . ., op. cit., p. 220.

nature of the self. . . ."[1] The continuing discussion relates directly to the development of what this writer considers intra-trust.

> What many perception psychologists have overlooked thus far is that object constancy is also a social phenomenon, built up in childhood side-by-side with person constancy, both object and person constancy being necessary prerequisites for developing a sense of self-constancy. . . .Object constancy and person constancy seem to serve important functions for the growing child. They build up within him a basic minimum of trust that the physical world will stay put and also that the world of people can be depended on to react constantly to physical objects as he does.[2]

With a steady assurance of the constancy of the world around him, the child is more able to build a sense of self-constancy, of self-trust (intra-trust).

> It may be supposed that any inexplicable disruption of these taken-for-granted constancies, physical or social or self, would lead one to question the validity of one's own senses, one's competence as a person who can cope with reality, or even one's sanity. But another way, violation of any primitive beliefs supported by unanimous consensus may lead to serious disruption of beliefs about self-constancy or self-identity, and from this disruption other disturbances should follow, for example disturbances in one's feelings of competence and effectance.[3]

If there is a strong sense of security from constancies of physical or social or self, a "trust of one's own experiencing"[4] can take place. This intra-trust is a

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[1]Milton Rokeach, Beliefs, Attitudes and Values (San Francisco: Jossey-Bass, Inc., 1968), p. 6.

[2]Ibid., p. 7.

[3]Ibid.

[4]Rogers, "Toward Becoming . . .," op. cit., p. 29.

part of the healthy personality, a "fully functioning person" Rogers characterizes further:

> Such a person is trustingly able to permit his total organism to function freely in all its complexity in selecting, from the multitude of possibilities, that behavior which in this moment of time will be most generally and genuinely satisfying. . . .Such a person is a creative person. With his sensitive openness to his world, and his trust of his own ability to form new relationships with his environment, he is the type of person from whom creative products and creative living emerge.[1]

Gibb similarly expresses concern for intra-trust as an important element in a healthy personality, as well as in inter-trust relationships.

> Trust produces trust. People who are trusted tend to trust themselves and to trust those in positions of responsibility. Moreover, the feeling that one is trusted encourages exploration, diversity and innovation, for the worker need spend little time and energy trying to prove himself.[2]

Interpersonal Trust (Inter-trust)

Most of the growing body of literature regarding trust deals with inter-trust. The "reasonable trustfulness as far as others are concerned"[3] which Erikson posited within his global definition of "basic trust" is the element of "inter-trust."

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[1] Ibid., p. 32.

[2] Jack R. Gibb, "Fear and Facade: Defensive Management," Science and Human Affairs, ed. R. E. Farson (Palo Alto: Science and Behavior Books, Inc., 1965), p. 208.

[3] Erikson, "Growth . . .," op. cit., p. 190.

Weigert states that "the basic human longing to enter into a relation of trust deals with the fundamental danger of loneliness."[1] After reviewing the concept of the child's development of trust that a separated mother will return in a sense of mutuality, she observes, "The experience of trust starts with an unconscious or conscious risk, a dive into uncertainty."[2] She later concludes, "Nobody can survive without some degree of trust in the confirmation of his fellows."[3]

This inter-trust is further seen by Rogers as he views the "lack of development of trust in others" within his thinking on loneliness.

> The other element of our loneliness is the lack of any relationship in which we communicate our real experiencing--and hence our real self--to another.[4]

In searching for the components of interpersonal trust (inter-trust), Morton Deutsch points out that, "One element common to many usages of 'trust' is the notion of expectation or predictability."[5] Adding the components of "motivational relevance" plus the perception that a person "will be worse off if he trusts and his trust is not fulfilled than if he does not trust," Deutsch then defines trust:

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[1]Weigert, "Loneliness . . .," op. cit., p. 122.

[2]Ibid.

[3]Ibid., p. 124.

[4]Rogers, "The Loneliness . . .," op. cit., p. 94.

[5]M. Deutsch, "Trust and . . .," op. cit., p. 265.

> An individual may be said to have trust in the occurrence of an event if he expects its occurrence and his expectation leads to behavior which he perceives to have greater negative motivational consequences if the expectation is not confirmed than positive motivational consequences if it is confirmed.[1]

Though this definition does not deal with intra-trust, it is broader also than inter-trust and includes elements of trust in objects and events.

In an attempt to further refine this broad term, Giffin adopted a formal definition of trust as:

> reliance upon the characteristics of an object, or the occurrence of an event, or the behavior of a person in order to achieve a desired but uncertain objective in a risky situation.[2]

He then derived from this a definition of interpersonal trust (inter-trust) in the communication process as:

> reliance upon the communication behavior of another person in order to achieve a desired but uncertain objective in a risky situation.[3]

Rotter developed a measure of generalized expectancy for one dimension of interpersonal functioning called the "Interpersonal Trust Scale." For this he defined interpersonal trust as "an expectancy held by an individual or a group that the word, promise, verbal or written statement of another individual or group can be relied upon."[4]

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[1] Ibid., p. 266.

[2] Giffin, op. cit., p. 105.

[3] Ibid.

[4] Rotter, op. cit., p. 651.

Lawton, in her studies of children's behaviors, defined trust as "willingness to wait for a preferred reward."[1]

When we look at some of the situations where inter-trust is lacking, we see that many of the malfunctioning personalities whose intra-trust was deficient are also found within the area of deficient inter-trust. Beier observes:

> A child may learn early in his life that his environment does not reliably respond to his needs and that he cannot trust anyone. In later life he may develop an untrusting attitude which may be consistently displayed. Yet, within this attitude there may be more freedom than we had formerly assumed. The child may develop into a self-defeating, suspicious individual, or, on the other hand, into a detective.[2]

Studies of the distrustful and particularly of the destructive person are emerging and the "psychotic patients overwhelmed by distrust and aggressive urges are being cured in significant numbers, despite their initial inability to cooperate."[3]

In discussing obstacles in "our constant game of interpersonal hide-and-seek," Beach lists fear as an obstacle and continues by relating it to trust.

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[1]Marcia Jean Lawton, "Trust as Manifested by Delay of Gratification in a Choice Situation" (unpublished Ph.D. dissertation, Northwestern University, 1963).

[2]Ernst G. Beier, The Silent Language of Psychotherapy: Social Reinforcement of Unconscious Processes (Chicago: Aldine Publishing Co., 1966), p. 268.

[3]Edward D. Hoedemaker, "Distrust and Aggression: An Interpersonal-International Analogy," Journal of Conflict Resolution, XII (1968), pp. 69-81.

> Its no fun to expose oneself to another when he is not able to put his full trust in the other. Particularly a person who has been hurt by other people finds it difficult, if not impossible, to trust, to expose, to invest himself in full relationship to another person and perhaps this is as it should be: we would surely not blame this individual for feeling this way. The hurt person, still hurting, needs protection and may need to withdraw from the source of hurt for some healing. But eventually he must again reach out to others or he will shrivel and die psychologically.[1]

Gibb points out that in the T-groups "members come with unresolved feelings of fear and distrust." He deals further with this trust deficiency, including within his thinking both intra-trust and inter-trust.

> These feelings are often denied and deeply buried. Sometimes they are fairly near the surface. They are apparently rooted in lack of acceptance of the self and consequent lack of acceptance of others. The facades produced by socialization make it difficult for a person to find himself, accept himself, or trust himself.[2]

Within the inter-trust process of the T-group, "A person can learn to grow as a person through learning how to create for himself defense-reductive climates that continue to reduce his fears and distrust . . ."[3] Among the T-Group modal concerns which are recurring themes or processes of all groups, this "acceptance concern" shifts to a concern for membership in the group (inter-trust).

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[1]Leslie R. Beach, "Some of My Best Friends are People!," Adult Leadership, XII, 5 (1963), p. 143.

[2]Gibb, "Climate . . .," op. cit., p. 284.

[3]Ibid., p. 279.

> Individuals become concerned with the questions of how they can attain membership, how they can be heard, how they can be seen as important by the other members. With productive work in certain social situations, persons earn membership by coming to lose their fears of one another and to trust one another in the situation. With process awareness in group training or therapy, members come to find that membership is a matter of fear reduction and trust formation. Experiences which product trust tend to reduce the incidence of the symptoms cited above.[1]

Summary

In summarization of the nature of trust, it would first appear that the global concept of trust has within it two components: intrapersonal trust and interpersonal trust.

Intrapersonal trust (intra-trust) makes possible inner security and a sense of identity. Intra-trust sets the stage for self concept, including self-acceptance and self-esteem, which are important factors in the interaction of communication and interpersonal trust. The concept of intra-trust has been dealt with mostly by "pure clinicians" using observation of individuals and expressing their conclusions in theoretical terms.

Interpersonal trust (inter-trust) is the component of trust most frequently dealt with in the literature on trust. This concept of inter-trust includes the expectation that others can be relied upon, and is basic to accurate communication and interpersonal transactional

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[1] Ibid., pp. 284-285.

learning relationships. Rotter has developed an "Interpersonal Trust Scale" for research on inter-trust functioning of individuals.

Intra-trust influences the patterns of inter-trust relationships, and a "trust of one's own experiencing" allows the individual more probable trusting of others, and allows exploration and creativity as a "fully functioning person."

Measurement of Trust

The specific concept of "interpersonal trust" (intra-trust) has been dealt with mostly through the use of theoretical terms in the field of the "pure clinician." These appear in reports of behavior in personality disorders, psychotics, or in less severe maladaptation experiences. There does not seem to be a measurement device constructed for intra-trust (self-trust, intrapersonal trust). Some research procedures in the field of trust, seeing it in global terms, do vary on differential use of intrapersonal and interpersonal concepts of trust. A few research procedures have collected personality data through projective tests, questionnaires and interviews which they then correlated with their data from "interpersonal trust" studies and communication studies. The specific intra-trust components are not singled out in the reports of these studies.

Mellinger approached the study of "interpersonal trust" by a study of distrust and resultant attitudes in communication.

> By distrust is meant the feeling that another's intentions and motives are not always what he says they are, that he is insincere or has ulterior motives.[1]

A distrusted person is seen as potentially threatening, and anxiety is aroused.

> To the extent that this is so, a primary goal of communication with a distrusted person becomes the reduction of one's own anxiety, rather than accurate transmission of ideas.[2]

The interpersonal distrustful communication results in impaired perceptions, and concealment which may be accomplished by communications that are evasive, compliant or aggressive. Distrust is a barrier to accurate communication.

Problems of accurate communication in a distrustful situation were explored by Kelley and Ring who found

> the trusting trainer will end up by confusing those he is trying to teach as to what exactly he is trying to teach. . .and trainees may feel less control over what happens to them.[3]

While this study has limited generalization, it does present some interesting considerations for the trainer, whether

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[1]Glen D. Mellinger, "Interpersonal Trust as a Factor in Communication," Journal of Abnormal and Social Psychology, LII (1956), pp. 304-309.

[2]Ibid., p. 304.

[3]Harold H. Kelley and Kenneth Ring, "Some Effects of 'Suspicious' versus 'Trusting' Training Schedules," Journal of Abnormal and Social Psychology, LXIII, 2 (1961), pp. 294-301.

parent, teacher or boss, regarding trust, confusion within the trainee, and anxiety induced by loss of control within freedom given by the trusting trainer.

Another study of interest in the enlarging field of trust, though not quite in the relevant discussion of studies in the measurement of trust, was a case-study report of one child. The study traces the relation between the child's dramatic lack of basic trust, and the defensive need to develop a myth of omnipotence designed to make it seem unnecessary that he depend on anyone other than himself.[1]

Studies within the field of group dynamics, human relations training, sensitivity laboratory experiences, and T-Groups are bringing forth many findings. The studies of change in the concept of trust as a component of the milieu experience are approached rather obliquely. One such study by Gold examined "Self-disclosure behavior, which was defined as disclosure of a greater variety of aspects of one's self that were initially held private," and found that there was

> no significant difference between the experimental and control groups on change in either overall self-disclosure behavior or in the direction of such behavior

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[1]Ernest A. Hirsch, "Basic Mistrust and Defensive Omnipotence in a Severely Disorganized Child," Journal of the American Academy of Child Psychiatry, V, 2 (1966), pp. 243-254.

at the conclusion of the program or three months later.[1]

Other studies of self-disclosure appear within the area of counseling, and while no direct relationship between self-disclosure and counseling effectiveness was found by Thomas,[2] he did find that disclosure within the institute setting was a significant factor in the personal adjustment of the trainee. Hurley[3] found that the validity of the Jourard Self-Disclosure Questionnaire should be questioned, but there was support for Jourard's theoretical formulations regarding self-disclosure as a powerful variable in interpersonal relationships.

Interpersonal trust (inter-trust) has been the focus of "research on the development of trust" in communication. Deutsch conducted a series of studies to investigate the determinants of trusting behavior,[4] and utilized a "two-person non-zero-sum game"

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[1]Jerome S. Gold, "An Evaluation of a Laboratory Human Relations Training Program for College Undergraduates" (unpublished Ed.D. dissertation, Columbia University, 1967).

[2]Ivor John Thomas, "An Investigation of the Relationships among Self-Disclosure, Self-Concept, and Counseling Effectiveness" (unpublished Ph.D. dissertation, University of Southern California, 1968).

[3]Shirley Jean Hurley, "Self-Disclosure in Counseling Groups as Influenced by Structured Confrontation and Interpersonal Process Recall" (unpublished Ph.D. dissertation, Michigan State University, 1967).

[4]Morton Deutsch, "Trust and Cooperation: Some Theoretical Notes." Unpublished manuscript, Research

in which the gains or losses incurred by each person are a function of the choices made between two alternatives by one's partner as well as the choices made by oneself.[1]

Implications drawn by Deutsch from the study were:

1. It is possible to capture in the laboratory the phenomena of "trust" and to study experimentally some of the variables which influence the tendency to engage in "trusting" and "responsible" behavior.
2. There are social situations which, in a sense, do not allow the possibility of "rational" individual behavior as long as the conditions for mutual trust do not exist.
3. Mutual trust is most likely to occur when people are positively oriented to each other's welfare.
4. Mutual trust can occur even under circumstances where the people involved are overtly unconcerned with each other's welfare, provided that the characteristics of the situation are such as to lead one to expect one's trust to be fulfilled. Some of the situational characteristics which may facilitate the development of trust appear to be the following:
    a) The opportunity for each person to know what the other person will do before he commits himself irreversibly to a trusting choice.
    b) The opportunity and ability to communicate fully a system for cooperation which defines mutual responsibilities and also specifies a procedure for handling violations and returning to a state of equilibrium with minimum disadvantage if a violation occurs.
    c) The power to influence the other person's outcome and hence to reduce any incentive he may have to engage in untrustworthy behavior. It is also apparent that exercise of the power, when the other person is making untrustworthy choices, may elicit more trustworthiness.

Center for Human Relations, New York University, 1954. See also: "A Study of Conditions Affecting Cooperation," Annual Technical Report No. 3 for the Office of Naval Research, and "Conditions Affecting Cooperation," Final Technical Report for the Office of Naval Research, Contract NONR-285 (10), February, 1957, Research Center for Human Relations, New York University, 1957.

[1] M. Deutsch, "Trust and Suspicion," op. cit., p. 269.

> d) The presence of a third person whose relationship to the two players is such that each perceives that a loss to the other player is detrimental to his own interests vis-a-vis the third person.[1]

A segment of this overall research project was used by Loomis in his dissertation[2] and published in journal article form.[3] Solomon was similarly a part of the research team.[4]

Of particular interest is a later coordination by Deutsch[5] of his type of research data with the F Scale, a measure of personality predispositions within Adorno's studies of The Authoritarian Personality.[6] Deutsch found that a subject's

> behavior toward the other is congruent with what he expects from the other, and also, what he expects from the other is congruent with his behavior toward the other.

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[1] Ibid., pp. 278-279.

[2] James L. Loomis, "Communication and the Development of Trust" (unpublished Ph.D. dissertation, New York University, 1957).

[3] James L. Loomis, "Communication, The Development of Trust, and Cooperative Behavior," Human Relations, XII, 4 (1959), pp. 305-315.

[4] Leonard Solomon, "The Influence of Some Types of Power Relationships on the Development of Trust" (unpublished Ph.D. dissertation, New York University, 1957).

[5] M. Deutsch, "Trust, Trustworthiness . . .," op. cit.

[6] T. W. Adorno et al., The Authoritarian Personality (New York: Harpers, 1950).

This suggests that the personality predispositions tapped are "internalizations of a reciprocal pattern of interrelationships with another." Deutsch points out

> It is apparent that the S's were not behaving in accordance with the ethical injunction of "do unto others as you would have others do unto you" but were rather guided by the dictum of cognitive consistency "do unto others as you expect others to do unto you and expect others to do unto you as you do unto them.[1]

Within Deutsch's study there seems to be an effort to coordinate measures of intra-trust and inter-trust. On the F Scale, High scorers are depicted as more authoritarian, less intellectually sophisticated, less liberal in their political views, more cynical concerning human nature, more prejudiced toward minority groups, have experienced and favor stricter child-rearing practices. Deutsch adds that they are more likely to be Suspicious and Untrustworthy (exploitatively oriented). To the characteristics of the Low scorers, Deutsch's study adds that they are more likely to be Trusting and Trustworthy. Deutsch suggests:

> . . .the personality differences between High and Low scorers on the F scale does not necessarily reflect structural differences in personality so much as content differences in the values that have been internalized as a result of the individual's reaction to his socialization experiences in a particular social milieu, characterized by a given pattern. . . .This suggests that highs and lows, Trusting people and Suspicious people do not necessarily differ in superego integration or in ego weakness. . . .Presumably, the pathologies of trust and suspicion both reflect internal

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[1]M. Deutsch, "Trust, Trustworthiness . . .," op. cit.

> conflict and ego weakness, both of which may be found in individuals who have internalized widely differing values.[1]

Other studies have used the two-person non-zero-sum game[2] in research on interpersonal relationships. Scodel investigated "induced collaboration"[3] and Turner explored "arousal and reduction of distrust."[4] A study by Sandler[5] used the Whitehorn and Betz AB Scale, a measure of therapeutic effectiveness, to arrive at scores of eighty male undergraduates and then placed them in the game situation in an attempt to "clarify the nature of some interpersonal correlates" of the AB scale.

Rotter[6] has observed that these studies using the game theory usually show competitive rather than cooperative attitudes, which may be

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[1] Ibid.

[2] A. Rapaport and Carol Orwant, "Experimental Games: A Review," Behavioral Science, VII (1962), pp. 1-37.

[3] A. Scodel, "Induced Collaboration in Some Non-Zero-Sum Games," Journal of Conflict Resolution, VI (1962), pp. 335-340.

[4] Lester Turner, "Arousal and Reduction of Distrust" (unpublished Ph.D. dissertation, University of Texas, 1967).

[5] David Sandler, "Investigation of a Scale of Therapeutic Effectiveness; Trust and Suspicion in an Experimentally Induced Situation" (unpublished Ph.D. dissertation, Duke University, 1966).

[6] Rotter, op. cit., p. 652.

> special reactions to these laboratory situations which are highly competitive in nature and are specific to these situations, or at least have limited generality.

The field of social learning now includes some studies of interpersonal trust (inter-trust). Mischel,[1] in studies of delayed reward, found that a child has a higher generalized expectancy for interpersonal trust from authority figures if the parents and authority figures in his past have kept their promises. Lawton examined "willingness to wait for a preferred reward" (trust) among first and second graders under various circumstances. She found that

> trust as conceived in social learning terms proved useful in explaining the results. That is, assuming expectancy to be a function of the probability of the occurrence as based on past experience and similar situations and of the generalization of the expectancies for similar behaviors, it appeared that these children had more experiences with women than with men in which promises were broken. Presumably this arose because children had less contact with men and thus less likelihood of a broken promise. However, the child's low expectancy for women's keeping their promise could be modified given sufficient time. . . .It was concluded that whether a child trusts someone depends on who is requiring the trusting and, presumably, what the child's past experience with similar agents has been.[2]

Rotter defined interpersonal trust as "an expectancy held by an individual or a group that the word, promise,

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[1]See W. Mischel, "Preference for Delayed Reinforcement and Social Responsibility," Journal of Abnormal and Social Psychology, LXII (1961), pp. 1-7; and W. Mischel, "Father-absence and Delay of Gratification: Cross-Cultural Comparisons," Journal of Abnormal and Social Psychology, LXIII (1961), pp. 116-124.

[2]Lawton, op. cit.

verbal or written statement of another individual or group can be relied upon."[1] In summarizing his study, Rotter had modified his definition and stated

> Interpersonal trust, defined as a generalized expectancy that the verbal statements of others can be relied upon, appears potentially to be a fruitful variable for investigation in several fields of psychology.[2]

In discussion regarding the construction of the "Interpersonal Trust Scale" Rotter states:

> An attempt was made to sample a wide variety of social objects so that a subject would be called upon to express his trust of parents, teachers, physicians, politicians, classmates, friends, etc. In other words, the scale was constructed as an additive scale in which a high score would show trust for a great variety of social objects. In addition to the specific items, a few items were stated in broader terms presumed to measure a more general optimism regarding the society.[3]

Rotter devised an interpersonal trust scale intended as a measure of a generalized expectancy for one dimension of interpersonal functioning. The scale was used to find the distribution of trust in 547 students. Demographic characteristics, sociometric scales, scores from the Marlowe-Crown Social Desirability Scale and College Aptitude scores were analyzed in relation to the interpersonal trust scores.

Geller examined the validity of the Rotter Scale by using "a natural criterion situation . . . in which subjects

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[1] Rotter, op. cit., p. 651.

[2] Ibid., p. 664.

[3] Ibid., p. 653.

revealed trust in the experimenter's reassurance that a 'dangerous' apparatus would not give them an electric shock."[1] He concluded that

> The trust scale was the only measure capable of predicting individual differences in trust behavior in the behavioral criterion. The relationship between the trust scale and other personality variables was construed as further evidence supporting the hypothesis that it is a valid measure of generalized trust.[2]

In an investigation of the "role of personality variables in the public reaction to the Warren Report"[3] the Rotter Interpersonal Trust Scale was one of the two measures of personality variables used. The other predictive measure was related to belief in internal versus external control of reinforcement, and

> pertains to the degree to which an individual perceives reinforcements as resulting from his own actions or sees them as stemming from such forces as luck, chance, fate, or some other powerful figures in his life.[4]

In the final section of the report, Hamsher states:

> The present study also has implications for the instruments employed, and the constructs for which they were developed. The data are seen as extending the validity

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[1]Jesse D. Geller, "Some Personal and Situational Determinants of Interpersonal Trust" (unpublished Ph.D. dissertation, University of Connecticut, 1966).

[2]Ibid.

[3]J. Herbert Hamsher, Jesse D. Geller and Julian B. Rotter, "Interpersonal Trust, Internal-External Control, and the Warren Commission Report," Journal of Personality and Social Psychology, IX, 3 (1968), pp. 210-215.

[4]Ibid., p. 211.

of the Interpersonal Trust Scale in a situation markedly different from the relatively limited complexity of the laboratory.[1]

Summary

A summary of measurement of trust would point out that research studies in interpersonal trust are reported from various bases: (1) observation and reporting of data from cooperative experiential interpersonal laboratories (T-groups); (2) case studies of an individual's trust; (3) competition-inducing "game theory" testing of risk-taking, trust and distrust; (4) measurement of generalized trust in interpersonal functioning. Some of the trust research studies have correlated trust scores with other measures of personality variables or background characteristics of the subjects. No measurement device has been constructed for empirical research on intrapersonal trust. Specific intra-trust components are not singled out in reports of research on "trust," which is usually seen in global terms.

Rotter's scale to measure interpersonal trust samples the individual's "trust of parents, teachers, politicians, classmates, friends, etc." and also measures "a more general optimism regarding the society."

Summary of Trust

Trust is one of the essential components of personality. It is a vital social process, the patterns for

[1] Ibid., pp. 214-215.

which develop within the first few months of infant-mother interpersonal relationships. Adequate trust-building experiences influence the individual's freedom to openly communicate with depth and spontaniety in future transactional learning experiences.

The global concept of trust has within it two components: intrapersonal trust (intra-trust) and interpersonal trust (inter-trust).

Intrapersonal trust makes possible inner security and a sense of identity. Intra-trust sets the stage for self-concept, including self-awareness and self-esteem. All these components of intra-trust are important factors in the interaction of communication, interpersonal relationships, and learning experiences. "Trust of one's own experiencing" allows the individual more probable trusting of others, exploration, creativity, ability to adapt to change, and to live richly as a "fully functioning person." Though intra-trust influences the patterns of inter-trust relationships, the present study does not attempt to measure intra-trust. The concept of intra-trust has been dealt with mostly by "pure clinicians" using observation of individuals and expressing their conclusions in theoretical terms.

Interpersonal trust (inter-trust) is the component of trust most frequently dealt with in the literature on trust. This concept of inter-trust includes the expectation

that others can be relied upon, and is basic to accurate communication and interpersonal transactional learning experiences. The individual who can trust himself, can look at his goals, can expect others to be relied upon then can interact with others in the process of learning. Any change of behavior implies the need for trust of self and trust of others.

Research studies in interpersonal trust are reported from various bases. Interrelationship of the trust studies which are based on diverse theories and processes of measurement was not found. Some of the trust research studies have correlated trust scores with personality variables or background characteristics of the individuals studied. No intrapersonal measurement device was found, and specific intra-trust components are not singled out in reports of research on trust. Trust, in the studies reviewed, is usually seen in global terms with emphasis on interpersonal trust.

The Rotter instrument, through use in other studies, has been found to be predictive of sociometric ratings of trust and of behavior in and out of the laboratory.

Implications for Adult Education

The adult in the context of adult education is defined by Boyd:

> The adult having his own standards, aspirations and expectations based upon his own recognized identity

> establishes that which he wishes to learn and is able to go directly to the subject matter. The social context is significant to his actions but they (sic) do not serve as psychological bridges to his engagement in learning.[1]

Leland P. Bradford, in contrast, sees that the social context of the learning is extremely important.

> There have probably been few times in history when the forces of change have created so much personal uncertainty. The increase in social mobility has left fewer stable posts to which people can hold. People need increasingly to find satisfying membership in groups while finding and preserving their own individuality.[2]

Adult life factors affecting character style are enacted within an increasingly rapidly changing social scene. Changing values, roles and attitudes force adults to make constant readjustment, and to be aware of interpersonal transactions in the immediate present. Rather than being a process of re-socialization for segments of the society who have been "deviant" or presented social problems by their lack of conformity to norms, adult education is called upon to realize its challenge for "continuing socialization" throughout life to enable all adults in the process of "becoming."

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[1]Robert D. Boyd, "New Designs for Adult Education Doctoral Programs," Adult Education, XIX, 3 (Spring, 1969), p. 189.

[2]Leland P. Bradford, "Human Relations and Leadership Training," Handbook of Adult Education in the United States, ed. Malcolm S. Knowles (Chicago: Adult Education Association of the United States, 1960), p. 492.

Though the U. S. Office of Education defines adult education as instruction "designed for or attended principally by, persons who have terminated their formal education,"[1] it is seen more broadly by many adult educators. For example, London and Wenkert state:

> Adult education covers virtually all areas of human existence where more knowledge and skill are needed to assume the adult social roles in the complexity of today's social world.[2]

The urbanized, technological age brings many individuals together in highly compacted areas but is marked by superficial communications, loneliness and impersonality.

> The individual is forced to turn inward; he becomes obsessed with the new form of the problem of identity, namely, Even-if-I-know-who-I-am, I-have-no-significance. I am unable to influence others. The next step is apathy. And the step following that is violence. For no human being can stand the perpetually numbing experience of his own powerlessness.[3]

The fragmentation of the lives of family members, the spread of intellectual laziness and the lack of responsible involvement in the lives of others have been pointed out as only a few of our social problems. Adult education can merely supply ready-made superficial solutions or it can be sharpened to contribute to better the human relations, and

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[1]See Handbook of Data and Definitions in Higher Education (American Association of Collegiate Registrars and Admissions Officers, 1962).

[2]London and Wenkert, op. cit., p. 167.

[3]Rollo May, Love and Will (New York: W. W. Norton, 1969), p. 14.

stimulate intellectual curiosity, problem solving and questing for knowledge.

The pragmatic American in the midst of an automated technological society is in a state of revolt. Within the past few years in the young adult population, there has been a shift toward valuing the human scene and a searching for deeper and more meaningful interpersonal relations and communication.

Personality theory and learning theory are both concerned not only with events in human behavior but also with interpersonal relationships. This latter concern implies the existence of "others," and it is through communication and interaction that persons become known and changed. Every person is involved in a continual process of mutual influence and is both a recipient and an agent of social influence.

> The goals of sound human relations teaching programs . . . are oriented toward developing a deeper understanding of how human factors are involved in creating situations where people can achieve optimum productivity and a sense of personal fulfillment.[1]

The personality factors of empathy and trust, which are developed within the preverbal period of ego development through the interpersonal relationship of the infant and mother, may be important clues to the adult learning

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[1]Howard Baumgartel, "Too Much Concern with Human Relations?," Adult Leadership, XI, 9 (March, 1963), p. 259.

processes and may be indicative of the adult learner's characteristic manner of interpersonal relationship and amenability to change.

Knowledge of the adult learner's level of empathy, trust and "epigenetic growth and resolution" within his ego stage development may enable the "educator" involved in altering human behavior to better diagnose the adult's involvement in the change process and understand adult resistance to change of behavior. Furthermore, the adult educator may be better able (1) to plan facilitative communication experiences to expand empathy, trust, and ego development by interpersonal relationships and (2) to plan purposive and organized experiences to integrate the internal (personality) and external (behavior) worlds of the learner.

Rogers points out that "change comes about through experiences in a relationship."[1] A supportive climate with the assistance of a change agent facilitates or enables learning through inquiry and exploration, observation and analysis, since a climate of interdependence gives reciprocal support.

Kidd clarifies, within the thinking of subject matter learning situations, that

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[1]Carl R. Rogers, On Becoming a Person (Boston: Houghton Mifflin Company, 1961), p. 33.

> . . .The teaching learning transaction has not just two, but five main elements:
> - the learner
> - the teacher
> - the group (usually)
> - the setting or situation
> - the subject matter.
>
> But the main protagonists in the transaction are the learner and the teacher.[1]

In much previous schooling, the direct, simplified cause and effect philosophy, based upon a stimulus and response psychology, has been useful for transmission of content knowledge, but this determinism has long been in conflict with the concept of behavior change and learning.

> Much of our educational practice is predicated on the conception of human beings as static, inert. The function of the school in this frame is to make people what they are not.[2]

Learning, a process of change in persons, is lifelong and life-wide in scope. Hilgard defines learning as "changes in behavior not due to maturation."[3] In the experiential process of change, the individual adult is venturing into the unknown, relating his internal and external behavior, reorganizing and remaking his experiences. This process requires trust.

Learning is also transaction. It takes place in interpersonal relationship, whether in the structured

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[1]Kidd, op. cit., p. 271.

[2]A.S.C.D. Yearbook, 1962, op. cit., p. 89.

[3]E. R. Hilgard, Theories of Learning (Rev. ed.; New York: Appleton-Century-Crofts, 1956), p. 3.

classroom, in therapeutic situations, or in the formal and informal encounters of daily living. It occurs wherever there is involvement of two or more people, with mutual giving and taking.

> Because the learner is one part of the human transaction of teaching-learning, his motivational, perceptual, emotional, and attitudinal systems are very important factors in how he approaches learning and change and how open he is to them. It is the total individual, not just his mind, who comes to the learning experience. When only part of him is understood and approached, all of him is not reached, and learning does not get very deeply into him and his actions.[1]

The objective of learning includes changes in attitudes, feelings, perceptions, values and goals. This process demands empathy. Empathy and trust are essential components of the transactional learning process.

General Summary

In reviewing personality development and the child-rearing attitudes or practices which nurture ego development and factors of empathy and trust, there appears to be theoretical evidence that early social interaction effects are strong influences in the individual's personality, behavior, and response to interpersonal relationships. The ego as the organizational center of the personality, arises from the interactions one has with others, and develops in

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[1]Leland P. Bradford, "The Teaching-Learning Transaction," Adult Education, VIII, 3 (Spring, 1958), pp. 135-145.

a sequential process of resolution of psychological crises of each developmental stage. The tentative character structure, psychological stance, and early response to experiences influence subsequent modes of relating to others, transactional learning experiences and potential for change.

Though empathy and trust may have common rootage in the earliest ego stage, there may be diverse levels of empathy and trust within the adult learner, despite supposition by a few authors and researchers that they move in concert. It is recognized that these are significant factors in individual personality, and hence they are important variables to be understood by the adult educator.

The principal characteristic of the present study is that it is basically concerned with theoretical issues in contrast to applied or "action-oriented" research. Hypotheses were developed concerning the basic question of the relationships between and among empathy, trust and ego stage development of adult learners. The primary emphasis is on the analysis of the relationship between the personality factors of empathy and trust in adults. The second emphasis is on exploration of the relationship between these factors either separately or in combination and the epigenetic growth and resolution of psychological crises of adults.

Empathy was defined as the ability to apprehend the present feelings of another person, accepting and understanding the other person and his feelings. In a closer delineation, affective sensitivity as the ability to detect and describe the immediate affective state of another was explored. Empathy was seen as an extremely important way of relating to others all through life, with implications of interaction in the sharing, interpersonal relationship, and thus an important factor in learning processes through which change of behavior takes place.

Empathy was measured through the use of the Campbell "Scale to Measure Affective Sensitivity (Empathy)." This scale was chosen from the field of empathy research measures to be utilized in the present research since it (1) allows for the subject's perception of and sensitivity to the subtle nuances at work in the observed interpersonal client-counselor process, (2) allows the subject to abstract from the client-counselor interaction scene viewed and select from multiple-choice responses, (3) does not presuppose the subject must have had similar experiences in order to truly comprehend feelings of the client, and (4) is a standardized situational test presented on videotape, usable with large numbers of subjects and not involved in a variety of judges' ratings of the subjects being tested.

Trust was seen as interpersonal trust and defined as an expectancy held by an individual or group that another

individual or group can be relied upon. Trust is basic to accurate communication and interpersonal transactional learning relationships. The individual who can trust himself can look at his goals, expect others are to be relied upon, and then interact with others in the process of learning. Any deliberate, reasoned change of behavior implies the need for trust of self and trust of others.

The Rotter "Interpersonal Trust Scale" was chosen from the trust research measures to be used in the present study for the following reasons: (1) It is a questionnaire administered to an individual in a group setting. (2) It is a non-competitive measurement of trust, free of the threat of competition. (3) It calls upon the subject to deal with measurement of a wide variety of social objects within his own experience. (4) It is a validated test. (5) It is scored objectively. (6) It may set up future research replication possibilities.

Ego stage was defined as a stage of human development with characteristic psychological conflicts which are resolved by normal persons within a sequential order. An overview of the epigenetic development and resolution of crises was used to see the personality growth of the adult learner.

The Boyd "Self Description Questionnaire" had been developed to measure the adult's epigenetic development and the positive or negative resolution of each ego stage

crisis. It was chosen for use in this study because (1) it represents the only objective measure found which is based upon Erikson's theory of ego stage development, and (2) it is usable in questionnaire form with large numbers of individuals within group settings.

The behavior of an individual (external world) is influenced or guided by personality (internal world). Two factors of personality, empathy and trust, are rooted in the infancy experiences of interaction during early ego stage development and influence patterns of interpersonal relationship and response to experiences. These variables of empathy, trust and ego stage development are assumed to have significance for continuing education. Through better understanding of these characteristics of the adult learner, we may be able to better understand his mode of relationship to "educators" in various settings, see his processes of blocking or adapting in the experience of change, and ascertain whether psychological crises are interfering with the learning process.

CHAPTER III

RESEARCH SETTING AND POPULATION

Within this chapter, the rationale is presented and the hypotheses are formulated and presented in testable form. The community college setting of the study is described and the sample delineated.

Rationale

The purpose of this study was to explore the relationship between empathy and trust and their relationship to the epigenetic growth and resolution depicting an overview of the ego stage development of the adult learner. The study was an effort to contribute to understanding regarding these factors of human behavior.

Empathy, the ability to ascertain the affective state of another, and trust, the expectancy that another can be relied upon, are assumed to be important factors in the interpersonal relationship affecting the transactional learning process involved in behavior change. The relationship of these personality factors to the overall epigenetic growth and resolution of ego stages evidenced by the adult learner was explored.

Empathy, trust and ego stage are believed to be important factors in adults' "becoming," in adults' ability to involve themselves in behavior change, and in adults' acquisition of necessary knowledge and skills for assuming adult social roles in a complex, interacting society. The adult learner's patterns of interpersonal relationship may function as variables in the transactional learning encounters, whether in client-therapist settings, in small group processes, or in more formal, structured classrooms.

Within the present exploratory study, the relationships of empathy, trust and the epigenetic growth and resolution depicting an overview of ego stage development were examined as factors which may facilitate or impede the learning process. No effort was made in the present study to determine whether these variables within adult learning situations did affect behavior change of adult learners in individual-therapist relationships, in small groups, or in individual-teacher relationships.

There are among adult education students professionals who are trying to improve their professional work, parents who are trying to improve their role as parents and teachers who are seeking to improve their insights as teachers. All these are people who are trying to understand why people behave toward others as they do, since such knowledge is basic to behavior change. This study is one part of the development of such knowledge about adults.

Hypotheses

I. There will be a positive linear relationship between the scores of empathy and trust as measured by Campbell's "Scale to Measure Affective Sensitivity (Empathy)" and the Rotter "Interpersonal Trust Scale" for the sample studied and for people like them.

II. There will be a positive relationship between the epigenetic growth and resolution score depicting an overview of the ego stage development of the adult learner as measured by the Boyd "Self Description Questionnaire" and empathy as measured by the Campbell Scale.

III. There will be a positive relationship between the epigenetic growth and resolution score depicting an overview of the ego stage development of the adult learner as measured by the Boyd "Self Description Questionnaire" and trust as measured by the Rotter Scale.

IV. There will be a positive relationship between the epigenetic growth and resolution score depicting an overview of the ego stage development of the adult learner as measured by the Boyd "Self Description Questionnaire" and empathy and trust in combination.

Description of the Setting

The College

Thornton Junior College was established in 1927 in Harvey, Illinois. It was, at that time, basically an educational institution for preparing students for baccalaureate programs in the university. As a credit-transfer center, it grew modestly through the years until a four-fold increase in enrollment during the past decade burgeoned the size and broadened the responsibilities of the junior college.

In 1966, the college separated from its former sponsoring high school district and was broadened to include two more high school districts. There was established a separate educational district with its local board elected by the citizens of the enlarged district, and the college began to function as a comprehensive community college. Indicative of the new philosophy as a comprehensive institution, the name was changed to Thornton Community College in 1969.

> The community college seeks to help the individual cope with the rapid change in skill requirements in a changing society. Thornton continues to offer the traditional academic curriculum, but has enlarged its scope to include training for challenging careers at semi-professional levels in technology, health, social service, education, business and industry. Additionally, the college is charged with the responsibility for conducting adult education and community service programs and of providing adequate guidance and counseling services for all its students. Thornton

> is a comprehensive institution that seeks to serve the educational needs of all the residents of post high school age in the district . . . . Thornton will be open from early in the morning until late in the evening and will serve simultaneously the college instructional program and the community activity programs of civic, professional, industrial and other groups.[1]

The Division of Adult Education and Community Services presents multifarious programs to fill virtually every adult educational need or interest. Ranging from adult elementary education to university extension courses, special interest non-credit classes, and an increasing number of community service programs, the adult education program is carried to eight major attendance centers, plus five other "mini-centers."

> The community college is a people's college and functions as an integral part of the total environment. It is not an island or an academy for an elite.[2]

Adults, responding to the diversity of programs, generated a total of 17,697 class enrollments in adult education during 1968-1969. This involved approximately 6,000 individuals in the Adult Education Division of the college per semester.

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[1]Lee E. Dulgar, The President's Annual Report, 1968-1969, Thornton Community College, Harvey, Ill., 1969.

[2]Ibid.

The Community

Thornton Community College District 510 encompasses an area of approximately eighty square miles in the southern region of Cook County, Illinois. Twenty communities are within, or partially within the borders of the District, and represent a wide variety of residential types, industrial and commercial concerns.

A brief description of a few of the communities closest to the present location of Thornton Community College may give an overview of the people served by the community college from whom the sample population for the research data collection was drawn.

Harvey

The 1965 population was 33,230 predominantly Polish, with representation from England, Scotland and Holland. Racially the population is 80 per cent Caucasian and 15 to 20 per cent Negro. West Harvey has changed from 80 per cent Polish Catholic to 80 per cent black in the last decade.

In 1960, adults over twenty-five surveyed showed 37.8 per cent had completed at least four years of high school, and the median of school years completed by these adults was 10.4 years. It was estimated then that 41 per cent of the work force were white-collar workers and draftsmen; operators comprised 40 per cent; laborers, 5 per cent; services, 8 per cent; and all others 6 per cent.

Dixmoor

In 1962 the population was 3,076 and non-whites comprised 60.3 per cent of the community. The median age of the residents is twenty-five.

The average adult educational attainment is 8.9 school years. Dixmoor is comprised principally of blue collar or semi-skilled industrial workers. Categorically, 8.9 per cent of those employed are the professional-manager class; 14.5 per cent are in clerical sales; 38.2 per cent are draftsmen and operatives; 12.6 per cent, laborers; 13.7 per cent in service occupations (except private household); and others comprise 12.2 per cent.

Markham

The 1968 population was listed as 14,300 from diversified national origins, and becoming increasingly Negro as houses are made available.

The average grade attained by the citizenry of Markham was 1.5 years of college training. Professional or semi-professional workers comprised 77 per cent of the adult workers in 1968; 21 per cent were classified as blue collar workers and only two per cent were classified as strictly laborers.

Hazel Crest

The 1968 estimated population was 9,500 and there are only a few homes where a foreign language is spoken. Only one Negro family lives in Hazel Crest.

In 1960 the adult population had completed an average of 12.3 school years, and about 56 per cent of the employed adults were white collar workers.

East Hazel Crest

The estimated population was 2,000 in 1968. The original settlers were direct immigrants of Slavic, Serbian and Polish descent, and some of the foreign-born still speak their native tongue. Those who have come recently are of varied backgrounds.

The education of the adult population is average, but with great variation ranging from master's and doctor's degrees to those having no formal education. Many are blue collar workers, but there are some white collar and professional workers.

Dolton

In 1968 the total population was approximately 18,000 with diverse nationalities, and a few families still speaking a foreign language in their homes. It is a middle class town of middle aged residents.

The majority of the people have completed a high school education. Approximately 60 per cent of the adults are blue collar workers. The majority of these work for the railroads, mills, foundries, and similar industries. The other 40 per cent are composed of semi-professional and professional people.

Riverdale

The population in 1967 was 15,517, is predominantly Polish, Italian, German and Irish, and there are two Negro families living in Riverdale.

The educational background varies from college graduates to those with little formal education. The occupational status of adults varies from professional to skilled and unskilled laborers.

Phoenix

The 1960 population within this one square mile between South Holland and Harvey was 3,300, almost all being black. The number of whites in the area comprises only between one and two per cent. In that group of whites are people of Polish and Dutch descent. There are also a few Spanish-speaking people.

South Holland

Though estimated in 1960 to have a population of 15,000, many new residents have moved in during the past decade. Originally this was an agricultural community of pure Dutch settlers, allowing no taverns, no Sunday business and no apartments.

The predominant occupational group consists of craftsmen. The next major group is made up of operatives and kindred workers, followed by managers and proprietors, professional and technical workers, and finally clerical and sales workers.

The Population Sample

The sample was selected from among adults in this midwest suburban area. These adults were taking course work through Thornton Community College's Adult Education 1969-70 program. Though adults going to a community college to take either credit or noncredit courses are not thoroughly typical of the full adult population of the United States, they are assumed to be a reasonably representative sample of the adult population enrolled in adult education programs.

The adults involved in college level course work had been admitted with an open door policy and were not pre-selected for special study programs at high and restricted levels as in many other higher education settings. The inclusion in the study of adults taking high school credit courses or reviewing for the General Education Development high school equivalency testing program added to the breadth of scope. The population varied greatly in experiences, goals, educational levels, interests, age and training. They are believed to be reasonably representative of adult education participants. The "typical" adult education participant of the United States is described in Johnstone and Rivera's comprehensive study as

> . . . just as often a woman as a man, is typically under forty, has completed high school or better, enjoys an above average income, works full time and most often in a white collar occupation, is typically

> white and protestant, is married and a parent, lives in an urbanized area (more likely in the suburbs than in a large city) and is found in all parts of the country.[1]

The selection of the sample was uniquely circumscribed by factors of reality of the setting.

Thornton Community College receives "ten or twenty requests per year from various persons or groups who wish to use the setting for research purposes." Since outside research projects are "usually disruptive of regular functioning" and because of the resistance at times by faculty or department chairmen, the administration and Board have usually determined that only two or three research projects will be allowed during a school year.

Informal permission to use the setting for the purpose of collection of data regarding adult learners was secured from the President, Dean of Instruction, and Dean of Adult Education. No formal written request to the Board was necessary on the part of the researcher. The matter was announced informally to the Board in an announcement of the on-going life of the community college, and, as Dean of Instruction reported, "would be allowed since the researcher was a faculty member on leave of absence as well as the wife of the Dean of Adult Education." The President of the college stated that "subjects would

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[1]John W. C. Johnstone and Ramon J. Rivera, Volunteers for Learning (Chicago: Aldine Publishing Company, 1965).

need to voluntarily participate in the program of research data collection."

A series of dates for testing had been selected for the first week of December, 1969 within the first semester's registration groupings. However, on Friday, November 21, eight days prior to the proposed first testing date, a race riot broke out in Thornton Township High School. This is the building site in which the college leases space for its offices and day program, and is the major attendance Center for the Adult Education program. Further, this was the one center which was to be utilized for the research data collection. As a result of the riot, which included threats against the building and personnel, the School Board for the high school district imposed tight security measures. This resulted in lock-up of the building and cancelation of Adult Education evening classes during the week immediately preceding the dates scheduled for research data collection. In conference with the Dean of Adult Education, it was reported that:

> Our office has received numerous phone calls which indicate much fear and apprehension regarding attending Thornton center and numerous requests for withdrawal from classes. I advise that due to the tension existing within the community and the lost class time within this semester, that the research project be postponed until well into the second semester.[1]

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[1]Dr. Robert E. Johnson, Dean of Adult Education.

The rescheduling of research data collection was finalized and achieved in early March, 1970.

These steps were followed in the selection of those subjects who would participate in the testing:

(1) A listing of the rooms which had closed circuit T.V. sets available within the major attendance center of the Adult Education program of the community college was secured. None of the other seven attendance centers had the facilities necessary for the videotape presentation of instruction and the videotaped scenes for use with the Campbell Affective Sensitivity Scale.

(2) Of the seventy-one rooms listed with the T.V. sets, the rooms in which classes or special interest groups were meeting on each of the four nights per week of the Adult Education program were listed.

(3) Letters were sent to thirty-two selected teachers of these groups meeting within these T.V. rooms explaining the research program and seeking their voluntary cooperation in participating in the testing program for research data collection.

(4) Upon receipt of the permission of instructors to involve their classes in participation, arrangements were made for packets containing questionnaires, answer sheets, and pencils to be conveniently distributed to the classrooms in quantities to cover the number of students shown on the computer class lists. For the four nights of

testing which were scheduled in these selected groups, the maximum number of subjects was calculated as five hundred and fifty adult learners. It was recognized that this total would not be reached because of (1) drop-outs since the class lists had been established from the registration procedures, (2) absences of the particular evening, (3) duplication of a few subjects who would have taken the testing on an evening earlier in the research week, and (4) adult learners who did not wish to participate in the data collection testing procedures and would decline to become involved.

As the groups were formalized in agreements to participate in the research project, the following range of enrollments in high school completion and in college credit courses appeared. (No special interest groups participated in the research since their short-term sessions were meeting for their final evening.)

Wednesday evening, March 4	Enrolled Class Size
Fundamentals of Public Speaking	25
Law Enforcement-Police Operations	27
Business-Introduction	41
Shorthand-Introduction	23
General Education Development Review (GED for High School Equivalency)	55
	171

Thursday evening, March 5	
English-Composition and Rhetoric	34
Business-Principles of Management	38
Accounting-Principles I	27
Accounting-Cost Accounting	20
	119

Monday evening, March 9	Enrolled Class Size
English-Composition and Rhetoric	32
English-American Literature	18
Sociology-Juvenile Delinquency	19
Accounting-Basic	34
U. S. History - High School	25
General Psychology - High School	22
	150

Tuesday evening, March 10	
Education-Reading Skills for Children	26
Business-Marketing	23
Accounting-Principles I	42
Social Service-Introduction to Group Process	19
	110

Totals of Maximum of Subjects

Wednesday	171
Thursday	119
Monday	150
Tuesday	110
	550

The age range of those who were tested was from seventeen to seventy-seven, with useable returns from the age range of seventeen to sixty. A group of six subjects above the age of 49 were later eliminated from the study.

Two hundred and one males and 135 females participated in the research program and submitted useable returns. After eliminating those aged forty-nine to sixty years of age, there were 199 males and 131 females used as subjects for this study.

CHAPTER IV

METHODS AND PROCEDURES

This chapter describes the methods and procedures used in the study. Instruments included: (1) Campbell's "Scale to Measure Affective Sensitivity (Empathy)," (2) Rotter's "Interpersonal Trust Scale" and (3) Boyd's "Self Description Questionnaire" (Ego stage development.) The analytical procedures and the statistical tools used in identifying the relationship between and among variables are given, followed by a summary statement.

The Measure of Empathy

The Campbell "Scale to Measure Affective Sensitivity (Empathy)" was used as the measure of empathy. This scale consists of multiple-choice phrases or sentences used to describe specific feelings portrayed in the videotape scenes of counselor-client interaction. Clients in those scenes ranged from fifteen to forty years of age and discussed problems ranging from marital disharmony to selection of school courses. Within the instructions given in the introduction of the scale, the subjects were asked to "identify the feelings the clients have toward themselves

and toward the counselors they are working with." Ideally, the utilization of live people in confrontation would be a more effective way to arouse sensitivity to the clients' feelings, but the problems of standardization and scoring are obvious.

> The use of videotape scenes of real clients has obviously enabled a better transfer from a theoretical to an operational definition of affective sensitivity (or its related, if not identical concept, empathy) than that achieved by most previous studies.[1]

Confrontation of the subjects being tested with as much total audio and visual stimulation from the situation as possible by the use of videotape comes close to arousing operational expressions of empathy which are consistent with the most theoretical conceptualizations of the term. From a standard experience, the subjects attempt to respond empathically.

> The procedure used in this research measures an individual's ability to accurately identify the feelings of another; it does not measure his ability to use this knowledge or understanding to effectively promote positive client growth in a counseling relationship.[2]

Campbell used the term "affective sensitivity" to refer to "a person's ability to detect and identify the immediate affective state of another."[3]

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[1]Kagan, Studies . . . , op. cit., p. 190.

[2]Campbell, op. cit., p. 129.

[3]Ibid., p. 3.

A few slight adaptations of the instrument were made for the present study. In the process of retaping, the prescribed timed interludes between scenes were included so that there would be precision and uniformity for the four testing evenings. At points of transition, the client, scene and item numbers to be considered for the next scene to be viewed and considered for answering were mentioned by verbal dubbing in on the revised videotape. This was done so that subjects could more easily keep pace and not lose their place throughout the test. A practice scene was given before the actual testing began in order that subjects might be more acquainted with the split-screen client-counselor format.

Scoring

The scoring of the sixty-six items of the Affective Sensitivity Scale was a direct "correct or incorrect" evaluation. The correct answer was established by the author from the actual client feelings expressed after each videotaped session had been reviewed in a client-counselor evaluation session.

Validity

Construction of the scale produced a series of sub-scales which were carefully submitted to item analysis and internal analysis and resulted in Revised Form B of

the Affective Sensitivity Scale, which was used in the current study.

> The procedures used in developing the scale, along with the results from item analyses and other internal analyses of the scale, provide some evidence of the scale's content validity.[1]

The validity of the final scale was investigated in a number of studies reported by Campbell.[2] He concluded

> there exists a positive relationship between Form B scale scores and other, usually more subjective, measures of counselor effectiveness or affective sensitivity.[3]

Reliability

During its construction, the scale was checked for reliability and was administered to samples of numerous and various groups: (1) counselor-training graduate students in several universities sponsoring NDEA Counseling and Guidance Institutes, (2) practicing school counselors, and (3) undergraduate students. Campbell states, "For most somewhat heterogeneous groups the reliability of Form B is above .70."[4]

The stability or test-retest interpretation of reliability was checked, and it was found that

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[1] Ibid., p. 110.

[2] Ibid., p. 91-111.

[3] Ibid., p. 105.

[4] Ibid., p. 118.

> Form B is unaffected by the practice effect often evident in procedures involving pre-testing and post-testing using the same measuring instrument.[1]

Later, use of the scale was made in other studies and with more varied groups.[2] In one instance, the scale was administered to a T-group of ten days duration which was composed of individuals from varied backgrounds and whose age range was 17 to 60 years. The study was made in an effort to "determine the relationship between affective sensitivity and a measure of defensiveness (K-scale of the MMPI)."[3]

> The correlation between the post Scale and the K-scale was found to be .41 and significant beyond the .01 level . . . . It seems that the Affective Sensitivity Scale correlates positively with a measure, which despite its title, "Defensiveness," does seem to correlate positively with success in therapy and with measures of openness.[4]

Summary

The Campbell scale was chosen from the field of empathy research measures to be utilized since it (1) allows for the subject's perception of and sensitivity to the subtle nuances at work in the observed interpersonal client-counselor process, (2) allows the subject to abstract from the interaction scene viewed and select from

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[1] Ibid., p. 120.

[2] Kagan, Studies . . . , op. cit., p. 176.

[3] Ibid., p. 203-205.

[4] Ibid.

multiple-choice responses, (3) does not presuppose the subject must have had similar experiences in order to truly comprehend feelings of the client, and (4) is a standard situational test presented on videotape, (5) useable with large numbers of subjects and (6) not involved in a variety of judges' ratings of the subjects being tested.

The Measure of Trust

The Rotter "Interpersonal Trust Scale" was used as the measure of trust. This scale was developed in 1967 as a measure of a generalized expectancy for one dimension of interpersonal functioning. The scale samples an individual's "trust of parents, teachers, politicians, classmates, friends, etc." and also measures "a more general optimism regarding the society." It was designed from the perspective of social learning theory, since Rotter believes

> choice behavior in specific situations depends upon the expectancy that a given behavior will lead to a particular outcome or reinforcement in that situation and the preference value of that reinforcement for the individual in that situation.[1]

In the construction of the scale, items were written using a Likert format. ". . . The scale was constructed as an additive scale in which a high score would show trust for a great variety of social objects."[2] The scale is labeled

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[1] Rotter, op. cit., p. 653.

[2] Ibid.

"General Opinion Survey" as it is handed to the subjects.

Scoring

Of the forty questions on the scale, fifteen were included as filler questions and not scored. Subjects were asked to answer within the spread of Likert categories of (1) strongly agree, (2) mildly agree, (3) agree and disagree equally, (4) mildly disagree and (5) strongly disagree. The twenty-five valid questions were scored with one to five points in either regular pattern or reversed pattern of the subject's response. The highest possible score was 125 points.

Validity

Rotter chose "to test the validity of the scale against observations of everyday behavior by a sociometric technique."[1] He summarizes, stating,

> . . . sociometric analysis reveals relatively good construct and discriminate validity for the Interpersonal Trust Scale as against observed behavior in groups who have had ample opportunity and a long time to observe each other.[2]

The Interpersonal Trust Scale has been further found to be predictive of behavior in an experimental laboratory situation

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[1] Ibid., p. 659.

[2] Ibid., p. 664.

> in which subjects revealed trust in the experimenter's reassurance that a "dangerous" apparatus would not give them an electric shock . . . . The trust scale was the only measure capable of predicting individual differences in trust behavior in the behavioral criterion.[1]

The validity of the Interpersonal Trust Scale was further extended by use "in a situation markedly different from the relatively limited complexity of the laboratory" when used as a measure of one of the variables in a study of the public reaction to the Warren Report.[2]

Reliability

Rotter reported mean scores and standard deviations of his subjects, as well as internal consistency based on split-half reliability, corrected by the Spearman-Brown formula.

> While these consistencies are not high for objective type tests, it should be remembered that these are additive scales sampling a variety of different social objects rather than a measure of intensity limited to a narrow area of behavior. Regarded in this light these internal consistencies are reasonably high.[3]

Rotter also found that "test-retest coefficients indicate surprising stability of test scores."[4]

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[1] Geller, op. cit.

[2] Hamsher, Geller and Rotter, op. cit., p. 214-215.

[3] Rotter, op. cit., p. 655.

[4] Ibid., p. 664.

Summary

The Rotter Interpersonal Trust Scale was chosen from the trust research measures to be used for the following reasons: (1) It is a questionnaire administered to an individual in a group setting. (2) It is a non-competitive measurement of trust. (3) The subject deals with measurement of a wide variety of social objects within his own experience. (4) It is free of the threat of competition. (5) It is a validated test. (6) It is scored objectively. (7) It may set up future research replication possibilities.

The Measure of Ego Stage

The Boyd "Self Description Questionnaire" was used, with special and restricted permission from the author, as the measure of ego stage development. A self-administered instrument, the Self Description Questionnaire was developed by Boyd, and has as its theoretical framework the "eight ego ages of man" paradigm developed by Erikson. The scale "is designed to gather data on an individual's perception of his behavior patterns."[1] Colley states, "Ego stage development is the profile of ego stage concerns

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[1]Boyd and Koskela, op. cit., p. 4.

over all eight stages at a specified time in the life of an individual."[1]

Prior to establishment of the instrument into its present questionnaire form, there is a history of the formation of the measuring process furnished by Colley.[2] Data on ego stage development were previously obtained by means of a Q-sort based on Erikson's conceptual model.[3]

> The Q-sort was developed from one which had been constructed from data gathered in a study carried out at Antioch College in 1962 and 1963. The original Q-sort had been based on statements made in interviews with adults which had been coded according to Erikson's eight stages of ego development and had been used in research with adult therapy groups. Since 160 items were too many for subjects to handle at one time, two complete Q-sorts were made (split-halves) including 80 statements each.[4]

By the summer of 1969, the items of the Q-sort had been formulated into a questionnaire containing 160 items which could be answered on machine answer sheets designed for use with this instrument and scored via computer processes,[5] thus eliminating some of the time consuming steps

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[1]Louise A. Colley, "The Relation of Re-Creative Experience to Ego-Stage Development," Adult Education, XIX, 1 (1968), p. 35.

[2]Ibid., p. 36.

[3]See Robert D. Boyd, "Basic Motivations of Adults in Non-Credit Programs," Adult Education, XI, 2 (Winter, 1961), p. 92-98.

[4]Colley, op. cit., p. 36.

[5]The computer program for scoring of the instrument is available at the University of Wisconsin Computing Center.

of administration of a Q-sort and the detailing of scoring.

Boyd reports:

> There are 160 items. Each is constructed to have a positive or negative valence to the solution of a given ego crisis. In addition, each item is located in one of five fields--physical, societal, interpersonal, familial, or self . . . . The answer form of the Questionnaire has a 6-point scale, labeled the Like-Unlike scale, ranging from "very much like me" to "not at all like me." S is requested to mark on this scale his perception of his usual behavior pattern in relation to the particular content of the item. The second scale is called the Pertinency scale and is employed to gather data on the level of concern a particular item has for the S.[1]

The subject is asked to answer on both the "Like-Unlike" and "Pertinency" scales for each of the 160 statements.

Measures of resolution derived from the Like-Unlike scales representing the eight ego crises were

> submitted for multiple linear regression analysis using a statistical program in the University of Wisconsin Computing Center library . . . . The findings indicated that there were ten of fourteen values significant at or above the .05 level.[2]

According to Boyd's theory, based on Erikson:

> Persons in a given critical step defined by the individual's given chronological age and the associated ego stage will produce a higher pertinency score on those items pertaining to that ego stage material than items pertaining to any other ego stages.[3]

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[1] Boyd and Koskela, op. cit., p. 4.

[2] Ibid., p. 11-12.

[3] Ibid., p. 7.

Scoring

The machine scored answer sheets for the Boyd Self Description Questionnaire were submitted to the Digitex for machine scoring, producing a deck of 1980 IBM cards with the scores which had been marked by the subject. This material was then submitted for computer calculation of the scores of the sample. The program for calculation of scores is on file with the University of Wisconsin Computing Center.

In the final output of scores there were three major scores given to show the subject's epigenetic[1] development. Two other sub-scores were given regarding the positive or negative resolution of each stage of ego development crises.

The three major scores were listed in the program as "Large Area," "Area Variance" and "Pertinency." Large Area scores, ascertained from the Like-Unlike scale, describe what the person is like, the things which matter a great deal to him, his attitudinal stance and values within his life-span. Area Variance scores, resultant from the Like-Unlike scale, show the subject's degree of ambivalence, the things which are unresolved in his life-space. The Pertinency Scale scores describe the subject's ego stage concerns upon which he is currently working, the ego crises

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[1] See definition of terms, Chapter I, p. 8.

which he thinks of as being significant to him at this phase of his life-space. From these three major scores we are able to obtain an overview of the subject's ego stage development.

Utilizing Eriksonian theory, Boyd established that phase-specific[1] adult individuals would reflect three ego stages predominantly in the reported scores. He listed them for the population of the present study thus:

Ages	Ego Stages
17-21	IV, V, VI
22-32	V, VI, VII
33-48	VI, VII, VIII

> There is a considerable range of individual difference in the time at which a given crisis becomes phase-specific. Although the theoretical course of development demands that each crisis comes in its proper order, a given crisis . . . does not begin and end at exactly the same chronological age for each person.[2]

Individuals beyond the age range (49-60) were dropped from the study since, by theory, their ego stage span would be expected to cover only two stages, VII, VIII.

To ascertain the epigenetic development of the individual and information regarding the successful resolution of psychological crises of ego stage development, an arithmetic calculation for the interpretation of scores

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[1]See definition of terms, Chapter I, p. 10.

[2]Boyd and Koskela, op. cit., p. 7.

from the Like-Unlike and Pertinency scales was established by Boyd,[1] and referred to in the present study as "epigenetic scores."

From the output scores, the three highest scores for the Large Area, Area Variance and Pertinency Scores were determined. These were listed to show which ego stages were reflected. Within the Large Area column, subjects who were phase-specific, or in ego stages immediately pre phase-specific or post phase-specific, a value of two was given. Scores which showed ego stages outside the range of these boundaries of phase-specific or pre or post phase-specific were more closely examined for positive or negative resolution of the ego stage. A score of one was given for positive resolution, and a zero score for negative resolution. In the Area Variance and Pertinency scores, a value of two was given if the ego stage was within the range of the phase-specific, pre or post phase-specific stages set for the age of the subject, and a value of one if the ego stage was outside of this range.

An example may prove helpful to clarify. A twenty-four year old subject would be expected to be concerned with ego stages V, VI, and VII. One subject showed the ego stages of first, second and third choices as follows:

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[1]Interview with Dr. Robert D. Boyd, University of Wisconsin, March 26, 1970.

	Large Area	Area Variance	Pertinency
Ego Stages	VII	V	VI
	I	VII	II
	IV	VI	VII

Following the procedures for computation for arriving at the epigenetic score for this individual, we have:

LA	AV	PERT
2	2	2
1	2	1
1	2	2

Total score equals 15.

The highest possible total score from such an arithmetic computation of the chart values would be 18. It was necessary to subtract a value of 6 in order that ambivalent and pertinency scores would not add unproportional weight to the total score.

Thus, the previously computed example score of 15 points would become an epigenetic score of 9 when it was finalized for punching into the computer cards.

These scores of the epigenetic growth and resolution were useable for comparison with other measures utilized within the present study.

Validity

Numerous steps were taken to establish the validity of the scale as it was being developed and refined. Boyd describes these in detail and concludes:

> Results of the tests on the construct validity of the instrument were in the predicted direction with a majority of findings significant at the .05 level or beyond.[1]

Further use of the scale has been made in other studies[2] which contribute to the growing validation of the scale.

Reliability

Boyd reports on the internal consistency of the Self Description Questionnaire as follows:

> The Self-Description Questionnaire was scored by totaling the weights assigned to each response a subject selected on each of the sixteen scales--the eight positive and the eight negative aspects of the ego stages. A set of weights which would maximize the internal consistency of the instrument was established by the use of a computer program which utilizes the Reciprocal Averages (RAVE) method (Baker, 1966). The mathematical basis for this method is discussed by Torgerson (1958).[3]

Boyd concluded that "the findings of the investigation based on university student populations showed the instrument to have high internal consistency reliability."[4]

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[1] Boyd and Koskela, op. cit., p. 13.

[2] Colley, op. cit.

[3] Boyd and Koskela, op. cit., p. 12. See also: Frank B. Baker, Test Analysis Package: A Program for the CDC 1604-3600 Computers, Madison, Laboratory of Experimental Design, Department of Educational Psychology, The University of Wisconsin, 1966; and W. S. Torgerson, Theory and Methods of Scaling (New York: John Wiley and Sons, Inc., 1958).

[4] Ibid., p. 13.

Further, the instrument "was shown also to be stable over a short period of time from the test-retest reliability measures."[1]

Summary

The Boyd scale was chosen to be used because (1) it represents the only objective measure found which is based upon Erikson's theory of ego stage development, and (2) it is useable in questionnaire form with large numbers of individuals within group settings. Furthermore, (3) Boyd has stated:

> It would appear, based on these results, that the Self-Description Questionnaire possesses sufficient reliability and validity to warrant further research and to be employed experimentally as an instrument to study ego-stage development among adult populations.[2]

Administering the Scales to Adult Learners

Through the use of the closed circuit television screens available within seventy-one of the classrooms of the major attendance center of Thornton Community College's Division of Adult Education, an introduction regarding the total research program and testing was first presented to the adult learners.[3] Specific instructions were given

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[1] Ibid.

[2] Ibid.

[3] See Appendix for script of videotaped instructions.

regarding the process of filling in the answer sheets.

The matter of confidentiality of the names was then discussed, with the explanation that names were necessary to correlate information of the three scales being given. The fact that the testing would in no way influence the grades or local records of the individual student taking any formal credit course work within the college setting was established.

When time for completion of the factual information had been given, the Affective Sensitivity Scale videotape was explained and a practice scene shown so that the subjects would be prepared for the split-screen counselor-client interview process which was to be utilized as a basis for the first measurement scale. The instructions were read from the first measuring instrument, the Affective Sensitivity Scale.

After completion of the first scale, the subjects were given, via television, instructions for taking the Self Description Questionnaire. A demonstration of the finding of the instructions, which were folded down inside the back cover of the test booklet, was given prior to reading of the instructions with them.

The students were informed that they could begin on the third measure, the General Opinion Survey, as soon as they had completed the Self Description Questionnaire. While students were completing the Opinion Survey the

instructor in each classroom was checking and rechecking the answer sheet of the second questionnaire to be sure that each question had one clearly marked answer showing.

The researcher expressed appreciation to the adults for participation in the research project and students were asked to begin on the last two testing instruments. At the end of the testing evening, instructors delivered the measures and the answer sheets to the researcher in the Adult Education Office.

Observations During Testing Evenings

There are several observations which may be relevant to consider as possible influences upon the data.

1. Verbal ability, reading skill at the high school level, and comprehension skill seems to be necessary for handling these three instruments. Students who were enrolled for GED Review to complete high school through use of the equivalency examination seemed to present the most persistent questioning of procedures and meaning during the testing evenings.

2. It would seem that a fair degree of skill in taking of tests is necessary within the subject. Many adults seemed not to be at all familiar with the form of answer sheet which called for filling in small rectangles with the pencil. Guide cards which were included in the packets did seem to help subjects in keeping their place

in the numbered maze which faced them on the answer sheets.

3. Ability to follow directions which are given either verbally over the closed circuit T.V. or visually in the printed instructions with each measuring scale presupposes that the subject can comprehend and conceptualize instructions and subsequently follow them. One seventy-seven year old man who was enrolled in a Basic Mathematics course was completely confused by any of the verbal or written directions given, even when given help by the instructor in the classroom. The subject refused to admit he was lost, kept trying to understand what was wanted of him, and subsequently submitted a totally unuseable form showing valiant attempts to cooperate and answer on all scales.

4. Several observations about adults taking evening classes in a community college were made. Some of these were confirmed by the reports of instructors at the end of the testing evenings as the data were turned in at the Adult Education Office.

(a) All adults involved as subjects in the research were individuals who had not been able to complete high school or college earlier in life.

(b) Adults in an evening program were fatigued from jobs or homes at the beginning of the evening.

(c) The testing sequence of two and a half or three hours was too long for many individuals to remain at peak attention.

(d) Adults take longer in deciding the answers because of age, varied experience and value judgments involved in their choice of the "right answer."

(e) Many adults were extremely threatened in the test taking process and exhibited fears and anxiety.

(f) The practical "value for me" question of subjects taking the testing may have influenced involvement in the testing, even to the point of producing superficial responses.

(g) Some adults had strong feelings that they had investing money in learning experiences and resented the loss of paid instruction time from their content or skill area.

(h) The community college is non-research oriented. Some instructors may have ridiculed research or exhibited "sour-grapes" attitudes and behavior which may have influenced the adults in the individual classrooms.

(i) Hostility toward the instructor where the testing was taking place was observed in some instances even prior to the test procedures being announced.

(j) Distrustful tension and fear was present in the community because of a racial riot three months prior to the testing. Continuing separatism, hostility, fear

and anxiety exploded in another race riot within six weeks after the data collection.

Instructors' observations regarding the reasons for incomplete answer sheets confirm some of the above observations. They reported the following: "too tired from a long working day"; "home duties were heavy that day"; "children ill at home"; "foreign student who could not understand English well enough to answer the tests"; "car pool driver was impatient and subject felt too pressured to stay for the final scale"; "subject was seventy-seven years old and had difficulty in the process of following directions"; "subject extremely threatened by the type of personal psychological material being asked and did not wish to even think about it for himself, let alone reveal any self descriptions to others"; "subject left glasses at home and could not focus on small spaces for answer sheet fill-in process"; "subject was hostile to the testing program participating since she had paid for shorthand lessons and felt she should not be tested on anything else."

5. Though it was a universal condition in the study for all subjects, it should be reported that the video quality of the videotape secured from Michigan State University for the Affective Sensitivity Scale was extremely poor. Sound quality of the client-counselor scenes was inconsistent, and often the rapidity of speech by the nervous client being shown made it so difficult to follow the

material that the subjects were not able to ascertain the feelings being expressed by the client in the scene.

Split-screen presentation of the client-counselor interview situations was relatively new to some subjects. A practice scene was given prior to the test. It was reported that after several scenes, the subjects seemed more able to understand what they should be looking for in answering. Some subjects reported that they had seen split-screen material on regular T.V. shows at home and knew that they had to keep their attention on both people at once while listening to the content material.

In summary, the error component of the observed scores may arise from several different sources which "are hopelessly confounded and their effects cannot be disentangled."[1]

Processing the Research Data

When the data collection was completed and the answer forms had been checked for completeness, it was found that there were 336 useable returns in which all three scales had been completed. Thirty unuseable answer forms were returned, suggesting that a few subjects began the testing, left in the middle of the evening, and took

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[1]Helen M. Walker and Joseph Leve, Statistical Inference (New York: Holt, Rinehart and Winston, 1953), p. 293.

the answer sheets with them. Six of the useable returns were later discarded because subjects were beyond the age range of the ego stage development involved in the "epigenetic score" scale as established by Dr. Boyd.

The University of Wisconsin test scoring center processed by Digitex the answer sheets for the Self Description Questionnaire, subjected the data to computer analysis and submitted a complete print out of the ego stage development for the 336 subjects. Computation of "epigenetic scores" for the 330 subjects within the selected age range was then done by the researcher according to the arithmetic valuing model established by Dr. Boyd in a personal conference on March 26, 1970.

The scoring of the other two measures was completed by the researcher, the distribution of scores was determined, and the scores of the three measures were matched with the student name and number. Case numbers were then assigned for each subject, and the scores of the three measures were punched into computer data cards for computer analysis at Michigan State University.

Analysis of Data

The Pearson product-moment correlation (r) was selected as a measure of the degree and direction of relationship between and among the scale scores of the variables. "The coefficient of correlation is a measure of the degree

of linear association between two variables."[1] It has been observed that

> When the data that we wish to correlate meet the assumptions basic to certain interpretations of the Pearson r, and when the two variables are continuous, it is the best statistic to use.[2]

The correlation, r, was calculated through the use of a computer program provided for the CDC 3600 computer installation at Michigan State University.[3]

After ascertaining the relationship between empathy and trust, the relationships between the "epigenetic score" of the adult learner and (a) empathy and (b) trust were tested through use of simple correlation. Multiple correlation coefficients between the "epigenetic score" and (c) empathy and trust in combination were examined.

Further internal exploration of the data, using a more precise approach, was made. Segments of the sample by sex, age and sex by age were explored to ascertain whether (1) there were submerged findings obscured in the

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[1]Allen L. Edwards, Experimental Design in Psychological Research (Rev. ed.; New York: Holt, Rinehart and Winston, 1960), p. 77.

[2]N. M. Downie and R. W. Heath, Basic Statistical Methods (2d ed.; New York: Harper and Row, 1965), p. 189.

[3]William L. Ruble, Donald Kiel, and Mary E. Rafter, "Calculation of Least Squares (Regression) Problems on the LS Routine," being STAT Series Description No. 7. LS, mimeo., (East Lansing, Mich.: Michigan State University, Computer Center, November, 1969).

total sample presentation of the data, and whether (2) there were any significant relationships between the variables within these segments of the sample which might be cancelling each other out.

Scatter diagrams were generated using a computer program on file at Michigan State University.[1] These representations of correlation in graphic form were examined to determine the direction and approximate degree of correlation. An effort was made to discern whether, on the scatter diagrams for the total sample, there were relationships which were curvilinear rather than linear, or whether there were simply a lack of relationship. High score groups and low score groups for each of the principal factors were isolated and further scatter diagrams were plotted for each. Examination of these differential score level scatter diagrams was carried out to establish whether differences in relationships between the variables were being shown by the segments within the sample.

Through comparison of the means and standard deviations, the possibility of restriction of score range as an influence on the correlations was investigated. The range of the scores of the variables of empathy and trust within

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[1]James Clark and Gerald Gilmore, "Data Plot and Statistics for Variables and Pairs of Variables," being Technical Report #15, mimeo., (East Lansing, Mich.: Michigan State University, Computer Institute for Social Science Research, 1968).

the present study were analyzed and contrasted to those of the samples used by the authors of the scales.

Examination was made of the scores of the present study in relation to a possible "random chance" score.

Summary

In this chapter, the methods and procedures were described. The Campbell "Scale to Measure Affective Sensitivity (Empathy)" was presented as the measure of empathy used. The Rotter "Interpersonal Trust Scale" was explained as the measure of trust employed. The Boyd "Self Description Questionnaire" was introduced as the measure of ego stage development utilized in the process of ascertaining the "epigenetic growth and resolution" score for the adult learner. The descriptions of the scales, scoring procedures, validity and reliability were presented for each of the scales. The procedure for the administration of the scales to the adult learners was detailed, including observations of conditions during the testing evenings and description of the processing of the data. Finally, the statistical tools and analyses used in analyzing the data were described.

CHAPTER V

PRESENTATION OF RESEARCH FINDINGS

Introduction

This chapter presents the results of examination of relationships among the personality factors of empathy, trust, and "epigenetic growth and resolution" state of adult learners. The research presented here was directed toward increasing our understanding of the relationships among these three personality factors. Specifically, two questions were investigated: (1) Are empathy and trust correlated positively or not? (2) What, if any, significant correlation exists between the "epigenetic growth and resolution" scores depicting an overview of ego stage development and (a) empathy, (b) trust, and (c) empathy and trust in combination? The data are presented and analyzed. Analysis is, in each case, followed by an interpretation and discussion of the significance of findings.

A restatement of each hypothesis, as presented in Chapter III, is followed by presentation and analysis of the data relating to the hypothesis. Scores were processed and the correlation coefficients for scores of the total

sample are discussed. Further internal exploration of the data, using a more precise approach, was made. Segments of the sample by sex, age, and sex by age were explored to ascertain whether (1) there were submerged findings obscured in the total sample presentation of data, and whether (2) there were any significant relationships between the variables within these segments of the sample which might be cancelling each other out. Findings are discussed in relation to each hypothesis.

Scatter diagrams were generated for the total sample in an effort to discern whether there were relationships which could be described as points showing a best fit falling about a curved line. High score groups and low score groups for each of the principal factors were isolated and further scatter diagrams were plotted for each. Examination of these differential score level scatter diagrams was carried out to establish whether differences in relationships between the variables were being shown by the segments within the sample. Presentation and discussion of each hypothesis is concluded with a report of examination of these scatter diagrams, and a subsequent statement is made concerning the acceptance or rejection of the hypothesis.

The Pearson product-moment correlation (r) was selected as a measure of the degree and direction of relationship between and among the scale scores of the

variables and is used in reporting the findings in this chapter.

Computer scatter diagrams are presented to display the form of relationships discussed. The computer scatter diagram program is designed to convert the individual's score position in relation to the mean of scores for each instrument. The position is displayed within standard deviations from the mean on each axis according to the variable being shown. Computer scatter diagrams show the number of persons who are high or low on one variable in relation to their position on the other variable. The computer scatter diagrams do not present the individual scores on the instruments upon each axis. As David Wright, statistical consultant, explained:[1]

> The programmers for the data plot process, in writing a general program without knowing the varieties of ranges of scores for which the program would be used, or how many different categories there would be, broke the data plots into quarter of standard deviation units. In this way, there would be 24 categories at most, or roughly, six standard deviations, with each standard deviation representing four categories. This gave enough categories for almost all computation purposes. If the program which is called for by a computer user happens to have less than 24 categories, then the data plot produced by the computer has fewer break downs shown on it. When the data set of the total sample of this study was broken into sub-sets for further scatter diagrams, the data plot program recomputed and spread slightly different placements of numbers because "it had more room to work," though essentially the positioned numerical totals upon the scatter diagram are the same.

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[1]Interview with David Wright, Office of Research Consultation, May 26, 1970.

The .05 level of significance was selected before the examination of the data for, as Games asserts, "To maintain your integrity you must specify your level of significance before the data are collected and then stick to it."[1] Before examination of the data, not enough was known about the three instruments and what they measure to make the integrated estimates required in balancing the power of the test against the probability of Type I error (decision that a significant relationship between variables exists when, in fact, there is none). In the absence of such knowledge, the .05 level seemed like a reasonable balance between (1) being so stringent that no relationship would appear significant and (2) being so liberal that "everything was possible" and where Type II error possibilities would be encouraged (decision that "there is no significant relationship" when in fact there really is a significant relationship between variables).

The instruments, the Campbell "Scale to Measure Affective Sensitivity (Empathy)," the Rotter "Interpersonal Trust Scale" and the Boyd "Self Description Questionnaire" (Ego stage development), were administered during the week of March 4 through March 10, 1970 in Thornton Community College Division of Adult Education to those groups

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[1] Paul A. Games and George R. Klare, Elementary Statistics (New York: McGraw-Hill, 1967), p. 425.

meeting in classrooms where closed circuit T.V. was available and where instructors had volunteered to cooperate in allowing class time to be used for the project.

The sample consisted of 330 adults, 199 male and 131 female, between 17 and 48 years of age. The mean age was 26.5 years. No students under 17 were enrolled in the Adult Education Division. Persons older than 48 years were not included since they were expected to be involved in only the last two ego stages and to compute epigenetic scores it was necessary to utilize three ego stages. (See Chapter IV, page 162.)

Table 1.--Age groups and sex of subjects in sample of 330 adult community college students.

Age	Male	Female	Total
17-21	64	37	101
22-32	110	50	160
33-48	25	44	69
	199	131	330

Scores on the three factors as recorded on the three scales administered, the maximum possible ranges of scores, the observed ranges of scores, the mean scores and standard deviations are presented in Table 2. The observed scores on the empathy measure do not exhaust the possible range of 1-66. The possible range of scores from 1-125 on

the trust measure was not fully utilized. The possible range on the epigenetic measure, 0-12, was not fully used. The same outcomes are shown in graphic form on Figures 2, 3 and 4.

Table 2.--Attained scores, mean scores and standard deviations for measures of empathy, trust and epigenetic growth and resolution in sample of 330 adult community college students.

Scale	Possible Range	Observed Range	Mean	Standard Deviation
1. Empathy	1- 66	14-48	27.73	5.56
2. Trust	1-125	35-99	68.69	10.02
3. Epigenetic Score	0- 12	1-10	6.56	1.41

The frequency of scores on the empathy measure (Figure 2) and of scores on the trust measure (Figure 3) was plotted and is presented in histograms. Analysis reveals a fairly normal distribution of scores.

It should be recognized that normal distribution or normal density "exists absolutely" as a mathematical function only, and that there is little likelihood that an exact normal distribution would be presented from a genuinely normal sample. While the distributions are not strictly normal, Figures 2 and 3 reveal that the distributions approach normalcy.

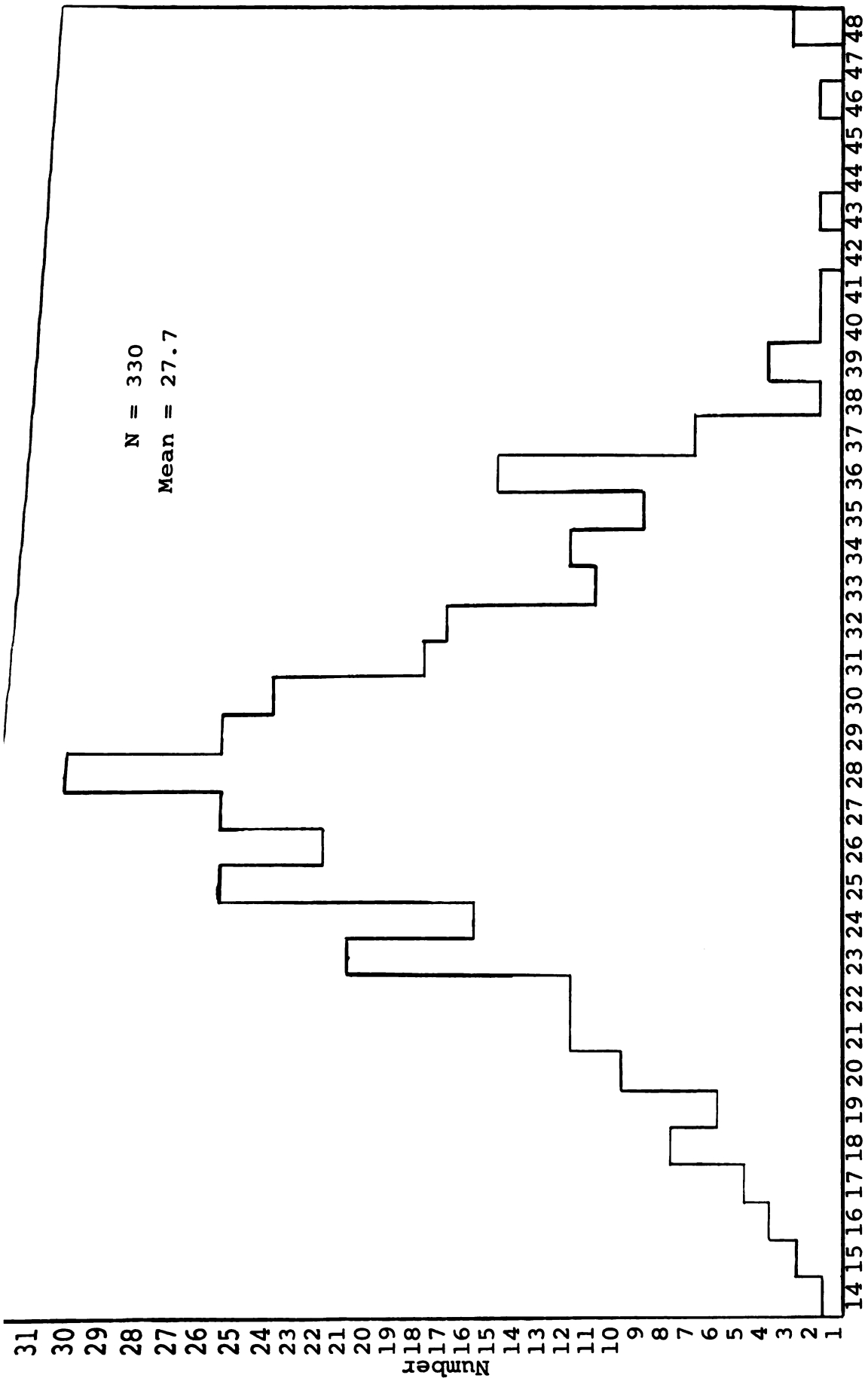

Figure 2.--Frequency distribution of scores on the Campbell Scale to Measure Affective Sensitivity (Empathy).

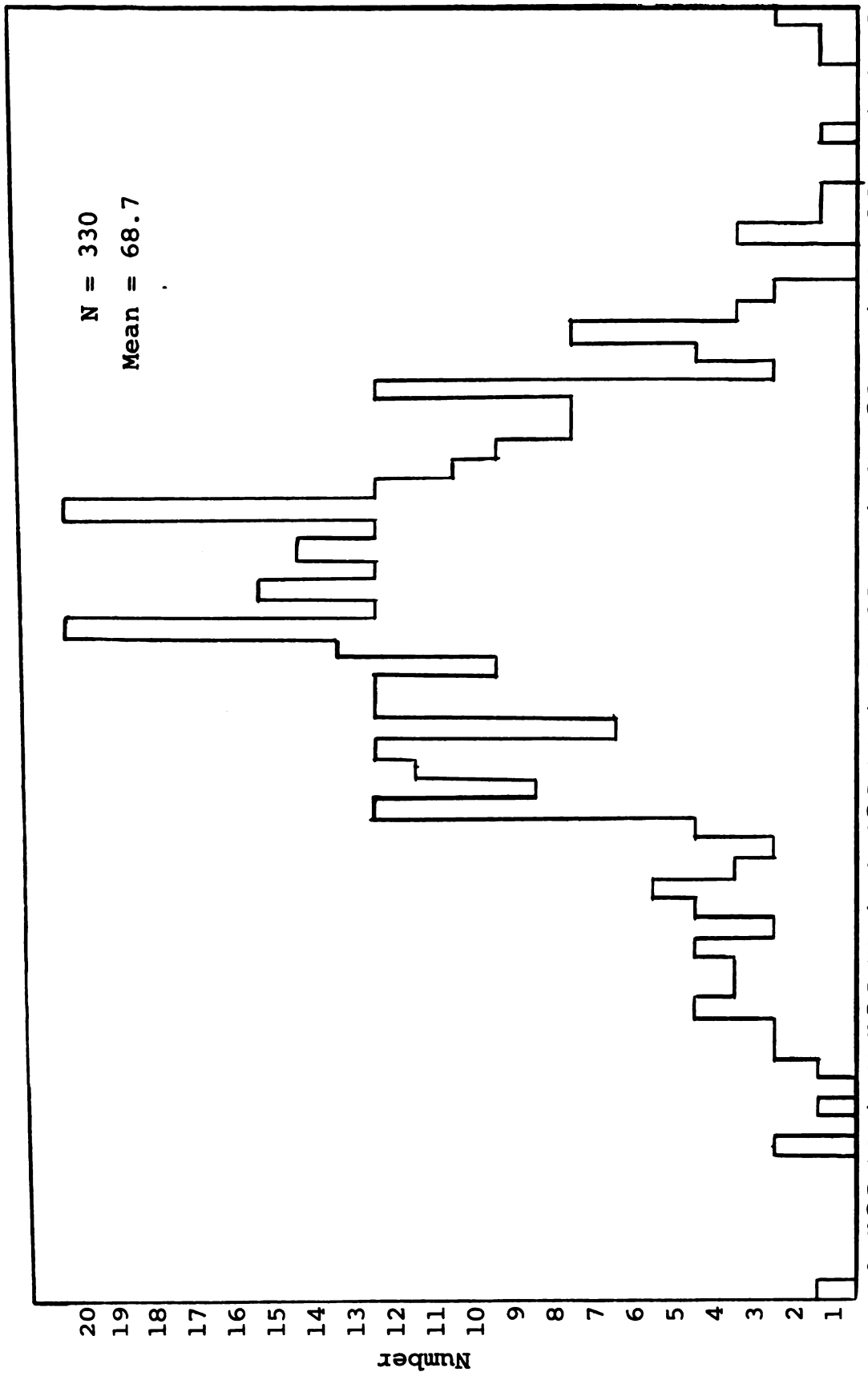

Figure 3.--Frequency distribution of scores on the Rotter Interpersonal Trust Scale

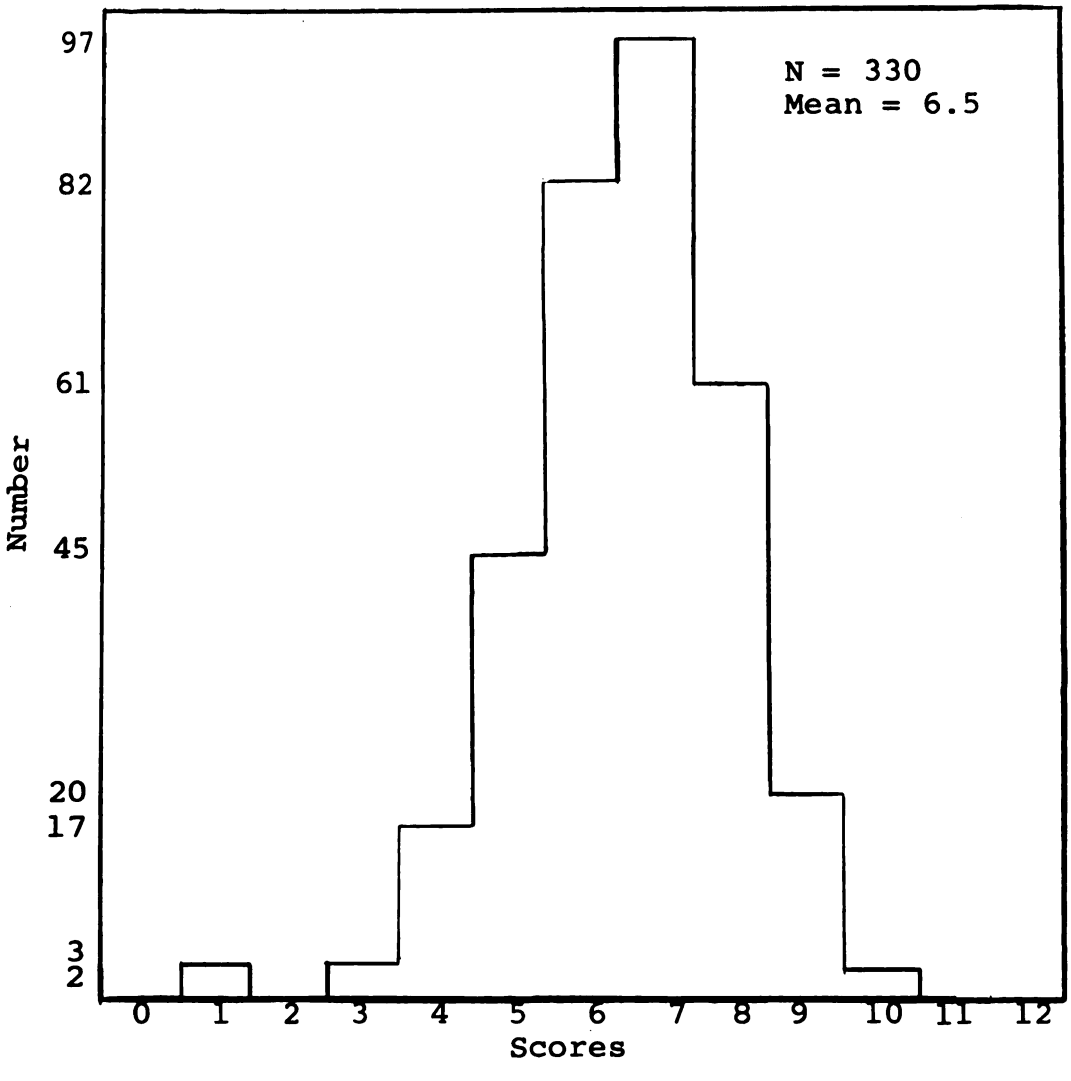

Figure 4.--Frequency distribution of scores of "epigenetic growth and resolution" within ego stage development as measured through use of the Boyd Self Description Questionnaire.

On Figure 2, the observed scores range from 14-48, with absences of scores 42, 44, 45 and 47. The mean was 27.7. Figure 3 reveals that the observed scores ranged from 35-99 with seven unused score categories in each of the two tails. The mean of the observed scores was 68.7.

The distribution of scores for the "epigenetic growth and resolution" variable with which Hypotheses II, III and IV are concerned is shown on Figure 4. Roughly classified, it is reasonably close to normal. A goodness of fit test was not deemed necessary since inspection of Figure 4 reveals enough symmetry to be accepted for a sample of this size.

The range of observed scores was 1 through 10, with none scoring 2 on the range. Three individuals who scored only 1 on the epigenetic score would be of interest as individual case studies.

The Results Obtained from Testing Hypotheses

The first research hypothesis was:

There will be a positive linear relationship between the scores of empathy and trust as measured by Campbell's "Scale to Measure Affective Sensitivity (Empathy)" and the "Rotter Interpersonal Trust Scale."

A correlation coefficient of r = -.007 was found for the total sample. A correlation of r = .113 or above is necessary for acceptance at .05 level for a sample consisting of 300 subjects or more.[1] The correlation coefficient of the total sample faintly suggests a negative linear relationship between the two variables, empathy and trust. This, however, was clearly not significant at the .05 level. If there is any linear relationship between the scores of empathy and of trust, it was not revealed in this examination based upon this total sample.

Segments of the total sample were then examined to see whether, perchance, differentially significant correlations between empathy scores and trust scores might exist within subgroups. As revealed by Table 3, none of the sub-sample correlations between the variables of empathy and trust was significant at the specified level, .05. All the correlations were found to be fluctuating about zero. If there is a relationship between the logical constructs of empathy and trust, there is not a significant relationship in the empirical constructs which were measured and shown within the segments here reported.

A scatter diagram for the total sample was generated from the data to ascertain whether a curvilinear pattern of relationships might be found. Inspection of

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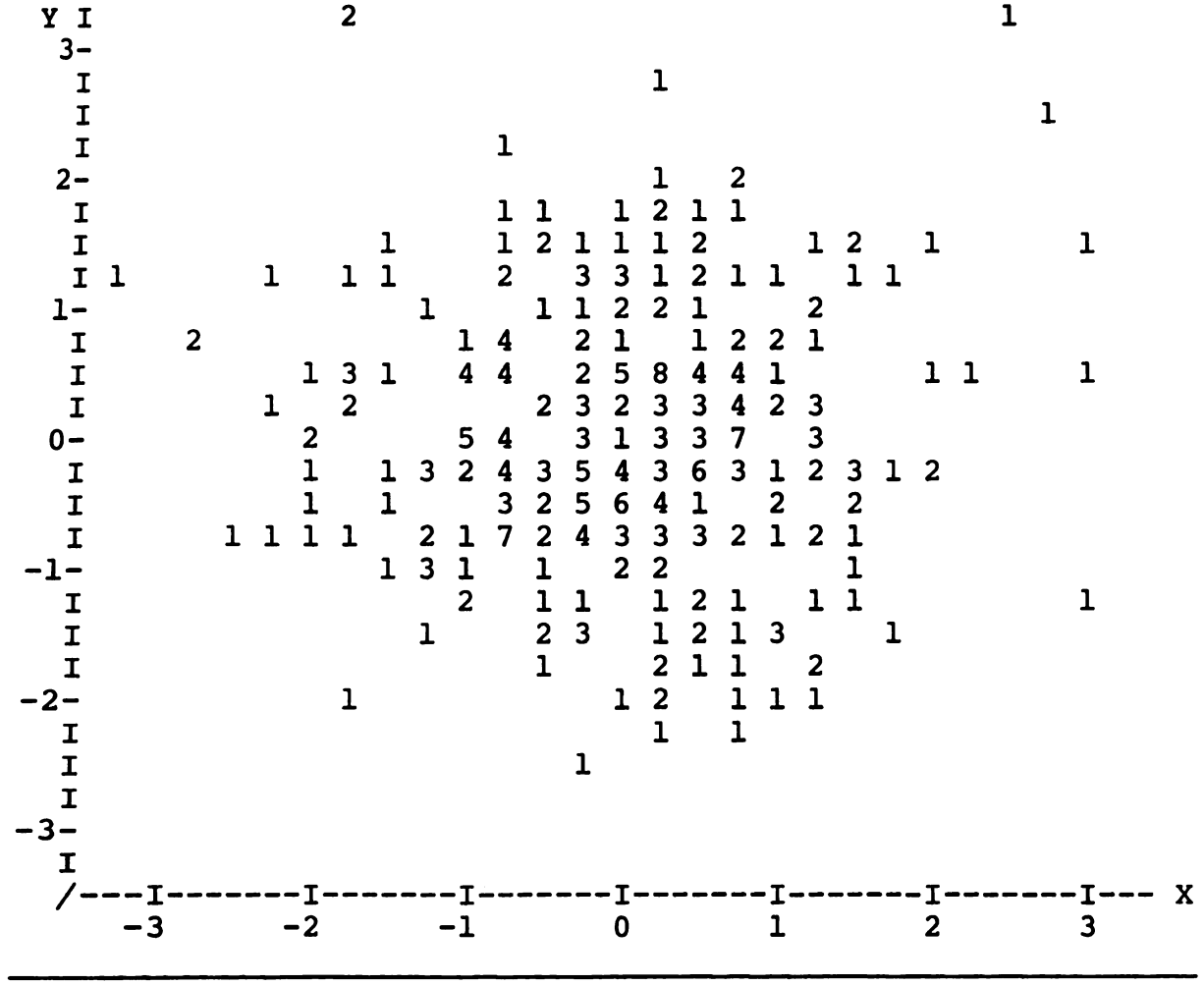
[1] Edwards, op. cit., p. 362.

Table 3.--Correlations between empathy scores and trust scores for total sample, for sample segments by sex, age and sex by age, and critical values for sub-sample sizes.

Segment	Correlation Coefficient (r)	Critical Value for .05 level
Total Sample (N=330)	-.007	.113
Males (N=199)	-.091	.138
Females (N=131)	.114	.174
17-21 years (N=101)	-.007	.195
22-32 years (N=160)	-.030	.159
33-48 years (N=69)	.065	.241
Males 17-21 (N=64)	-.036	.250
Males 22-32 (N=110)	-.151	.195
Males 33-48 (N=25)	.031	.381
Females 17-21 (N=37)	.094	.320
Females 22-32 (N=50)	.195	.273
Females 33-48 (N=44)	.051	.291

Table 4.--Scatter diagram for correlation between empathy scores and trust scores for a population of 199 males and 131 females aged 17-48 years.



Y axis empathy. X axis trust.

the display (Table 4) reveals that not only is there not a straight line relationship between the variables of empathy and trust, but there appears to be no other systematic pattern of relationship as measured by these instruments at this time within this sample.

Scatter diagrams were also plotted for the high and low scorers on the measure of "epigenetic growth and resolution" to ascertain whether the relationship between empathy and trust was significant within these subgroups of differential levels of scorers. Correlations of the relationship are presented in Table 5.

Table 5.--Correlations between empathy and trust for high and low scorers on the epigenetic instrument.

High Epigenetic Scorers (N=181)	Critical Value	Low Epigenetic Scorers (N=149)	Critical Value
r = .050	.148	r = .103	.159

There does not appear to be any relationship significant at the .05 level between the variables of empathy and trust for either those above the mean or those below the mean on the epigenetic score.

The hypothesis which assumed that there would be a positive linear relationship between the scores of empathy and trust for the total sample was not supported. Study of segments of the sample by sex, age, and sex by age

(Table 3) revealed no significant support. Furthermore, no curvilinear relationship between the variables was found in the examination of the scatter diagram for the total sample (Table 4). Examination of scatter diagrams for differential levels of scorers and the correlations (Table 5) showed no significant relationship between empathy and trust at the .05 level.

It was found that empathy and trust were not correlated at the selected level of statistical significance. Thus, given the two instruments and the data they provided, empathy and trust appear essentially independent of each other.

Hypotheses II and III were tested within the sample as a whole and tested within segments of the sample. The data were examined for the total sample and for six other major subgroups. Hypothesis IV was tested within the sample as a whole and the data were examined by segments B, C, and D as listed below. The seven ways of examining data were:

A. Total Sample
B. Segment of sample by sex
    1. Male
    2. Female
C. Segment of sample by age
    1. 17-21 years
    2. 22-32 years
    3. 33-48 years
D. Segment of sample by sex and age
    1. Males 17-21
    2. Males 22-32
    3. Males 33-48

4. Females 17-21
5. Females 22-32
6. Females 33-48

E. Segment of sample by level of score on empathy
   1. High Empathy
   2. Low Empathy

F. Segment of sample by level of score on trust
   1. High Trust
   2. Low Trust

G. Segment of sample by level of score on epigenetic
   1. High Epigenetic
   2. Low Epigenetic

There were eighteen correlations examined for Hypothesis II and for Hypothesis III. Twelve correlations were examined for Hypothesis IV.

Table 6 shows the correlations for Hypothesis II.

Hypothesis II, as stated in Chapter III, was:

There will be a positive relationship between the epigenetic growth and resolution score depicting an overview of the ego stage development of the adult learner as measured by the Boyd "Self Description Questionnaire" and empathy as measured by the Campbell scale.

In testing Hypothesis II, questions were asked regarding the existing correlation between "epigenetic growth and resolution" and empathy for each of the categories of the sample and segments of the sample (A through G listed previously).

$H\ II_A$ What correlation between "epigenetic growth and resolution" and empathy exists for the total sample of 330 adult students in a community college adult education program?

Table 6.--Correlation of the "epigenetic growth and resolution" scores and the empathy scores within a sample of 330 adult students in a suburban community college.

Segment	Correlation Coefficient (r)	Critical Value for .05 Level
A Total Sample (N=330)	.150*	.113
B1 Males (N=199)	.178*	.138
B2 Females (N=131)	.059	.174
C1 17-21 years (N=101)	.235*	.195
C2 22-32 years (N=160)	.133	.159
C3 33-48 years (N=69)	.163	.241
D1 Males 17-21 (N=64)	.305*	.250
D2 Males 22-32 (N=110)	.125	.195
D3 Males 33-48 (N=25)	.121	.381
D4 Females 17-21 (N=37)	-.016	.320
D5 Females 22-32 (N=50)	.092	.273
D6 Females 33-48 (N=44)	.141	.291
E1 High Empathy (N=171)	.080	.148
E2 Low Empathy (N=159)	.135	.159
F1 High Trust (N=172)	.167*	.148
F2 Low Trust (N=158)	.132	.159
G1 High Epigenetic (N=181)	.095	.148
G2 Low Epigenetic (N=149)	.253*	.159

*Statistically significant at the .05 level.

The correlation coefficient, r = .15, suggests a significant linear relationship between the two variables, "epigenetic growth and resolution" and empathy scores for the total sample of 330 adults. The critical value of r = .113 is used for this sample size and the correlation coefficient for the total sample is significant at the .05 level.

H II_B What correlation between "epigenetic growth and resolution" and empathy exists for 199 males and for 131 females within the total sample?

1. For the 199 males, the correlation coefficient, r = .178, was significant at the .05 level. The critical value for this sample size is r = .138. Thus, for males there was a significant linear relationship between "epigenetic growth and resolution" and empathy.

2. The Pearson coefficient, r = .059, was not statistically significant for the 131 females. The critical value for this sample size is r = .174.

It was found that the relationship between the variables was a little bit stronger for males than for females, and for females the relationship was not significant. While there is a possibility that the relationship does exist for males and not for females, it may be that the relationship is sufficiently weak that it is simply not being picked up with these instruments and with these sample sizes.

H II_C What correlation between "epigenetic growth and resolution" and empathy exists for each of three age divisions (17-21, 22-32 and 33-48) within the sample?

1. The correlation, r = .235, for the 101 adults within the age range of 17-21 years was significant at the .05 level. The critical value needed for .05 significance was r = .195.

2. The correlation, r = .133, for 160 adults aged 22-32 years, reveals that there is no statistically significant relationship between epigenetic and empathy scores for this group where the critical value of r = .159 was necessary for this sample size.

3. The relationship between epigenetic and empathy scores was examined for the 69 adults within the 33-48 year old sub-sample. The Pearson correlation, r = .163, showed the relationship not statistically significant at the .05 level since the critical value of r = .241 would have been expected for a sample this size.

The strength of the correlation between epigenetic and empathy scores varies across the age groups, and appears to be stronger for the 17-21 year olds than for the 22-32 year olds or for the 33-48 year olds. The correlation was statistically significant at the .05 level for the 17-21 year olds.

H II_D What correlation between empathy and "epigenetic growth and resolution" exists for males and for

females in each of three age divisions (17-21, 22-32, and 33-48) within the sample?

1. The correlation coefficient, r = .305, suggests that for 64 males within the 17-21 year age group a positive linear relationship exists between the two variables, "epigenetic growth and resolution" and empathy. A critical value of r = .250 would have been expected for a sample of this size to show statistical significance at the .05 level.

2. For the 110 males in the 22-32 year old subsample, the correlation coefficient, r = .125 indicates that the critical value of r = .195 was not achieved, and the relationship between the two variables is not significant at the .05 level.

3. A correlation coefficient of r = .121 was found for the 25 males in the 33-48 category. For a sample this size, the critical value was .381 if a significance at the .05 level were to be affirmed.

4. The 37 females 17-21 years of age revealed a correlation coefficient, r = -.016, and a critical value of r = .320 was listed. A negative linear relationship between the two variables is suggested for this group in which the correlation was not statistically significant.

5. The correlation coefficient, r = .092, indicates that for 50 females aged 22-32 the relationship between epigenetic score and empathy score is not

statistically significant. The r = .273 critical value was not achieved to affirm significance at the .05 level.

6. A correlation coefficient of r = .141 was revealed for 44 females in the 33-48 year old sub-sample, and since the critical value of r = .291 was not shown, the relationship was not significant at the .05 level.

In the age by sex break downs, it appears as if a very modest relationship is suggested and shown by the correlation coefficients indicated for the six segments. Only one score for males is significantly different from zero, and for males across the groups the relationship between the variables seems to decrease with aging. For females the relationship seems to increase with aging, but for none of the female age groups is the relationship different from zero.

H II_E What correlation between "epigenetic growth and resolution" and empathy exists for differential level scorers on the empathy measure?

1. The relationship between epigenetic score and empathy score for 171 adults who scored above the mean (27.73) on the empathy measure was examined. The correlation, r = .080, was not significant at the .05 level. A critical value of r = .148 was expected for a sample of this size in order to prove statistical significance.

2. The relationship between epigenetic score and empathy score for 159 adults who scored below the mean

(27.73) on the empathy measure was examined. A correlation of r = .135 was revealed. Since the critical value of r = .159 was not exceeded, the correlation was not statistically significant for a subsample of this size.

H II_F What correlations between "epigenetic growth and resolution" and empathy exist for differential level scorers on the trust measure?

1. For the 172 adults who scored above the mean (68.69) on the trust measure, the correlation between empathy and epigenetic scores was found to be r = .167. A critical value of r = .148 was used for a sample of this size, and the correlation coefficient for the High Trust score group was significant at the .05 level.

2. The Low Trust scorers group, 158 adults who scored below the mean (68.69) on the trust measure, showed a correlation coefficient, r = .132. Since the critical value for this size of sample is r = .159, it was found that the correlation was not statistically significant at the .05 level.

H II_G What correlations between empathy and "epigenetic growth and resolution" exist for differential levels of scorers on the "epigenetic growth and resolution" measure?

1. The 181 High Epigenetic scorers were examined for the relationship between epigenetic growth and resolution and empathy. The Pearson correlation coefficient of

r = .095 was found for this subgroup. A critical value, r = .148, would be necessary for a sample of this size to be significant at the .05 level. The High Epigenetic group did not present a significant correlation.

2. In examination of the 149 Low Epigenetic scorers, a correlation of r = .253 was revealed. This is statistically significant at the .05 level since the critical value of r = .159 would be expected for a sample this size.

The utility and meaning of the significance test in which an epigenetic score group sub-sample is used as a cutting level to discern relationship between variables of epigenetic score and empathy score is questionable. The fairly high correlation which was found in the Low Epigenetic score group may be being presented because (1) near the cut off point on epigenetic scores (see Table 7, scatter diagram), there is one subject who has an extremely high score on empathy, (2) there are three people who have very low epigenetic scores and tend to be slightly below the mean on empathy, and (3) the combination of these could be enough to give a fairly strong correlation simply because the high-empathy-scoring person is near the mean on epigenetic score.

This series of tests for Hypothesis II reveals that in this sample of 330 community college adult education students, 199 men and 131 women, aged 17-48,

Table 7.--Distribution of epigenetic scores as related to empathy scores for a population of 199 males and 131 females aged 17-48 years.

Y														
	I					1	2							
3-														
	I						1							
	I							1						
	I							1						
2-						1	1	1						
	I				1	3	2	1						
	I				1	6	4	2	1					
	I				5	2	4	6	2					
1-					1	3	2	3	1					
	I				2	4	5	5						
	I			2	7	7	11	9	3	1				
	I	1			5	9	6	1	3					
0-			1	2	4	5	8	9	2					
	I			2	3	15	14	6	3	1				
	I			2	3	8	9	4	1					
	I	1	1	1	5	10	10	6	1					
-1-				1	4	2	3		1					
	I		1	2	1	2	1	4						
	I			4	1		7	1	1					
	I					2	4	1						
-2-				1	1	1	3		1					
	I	1					1							
	I					1								
	I													
-3-														
	I													
	/---I		-------I		-------I		-------I		-------I		-------I		-------I	--- X
		-3		-2		-1		0		1		2		3

Y axis empathy. X axis epigenetic.

epigenetic growth and resolution scores bear statistically significant (.05 level) positive correlations with empathy scores for: the sample as a whole (r = .15); among the males as a total sub-sample (r = .178); among younger subjects, male and female, aged 17-21 (r = .305); among those who scored above the mean of the sample on the Rotter trust scale (r = .167); and among the subjects who scored below the mean of the sample on the Boyd measure depicting "epigenetic growth and resolution" (r = .253).

Statistically significant correlations were not found for: females as a total sub-sample; older subjects, male and female, aged 22-32, and male and female, aged 33-48; among older males, 22-32 and males 33-48; among all ages of females; among subjects who scored above the mean on the Campbell empathy measure; among subjects who scored below the mean on the Campbell empathy measure; among those who scored below the mean on the Rotter trust scale; and among those who scored above the mean on the Boyd measure depicting "epigenetic growth and resolution." (See Table 6, page 193.)

Table 7 shows the scatter diagram generated from the data relating to the 330 subjects and depicts the slight linear relationship between the epigenetic scores and the empathy scores. High scorers and low scorers on the epigenetic measure may be observed on the X axis as above or below the mean in the total sample presented in

Table 7. High and low scorers on the empathy measure may be studied by observing subjects on the Y axis above or below the mean in the total sample.

After analysis of the correlations of the total and the segmented sample, the scatter diagrams for the total and differential levels of scorers, Hypothesis II was accepted. A correlation, significant at the .05 level was found to exist between "epigenetic growth and resolution" and empathy for the total sample and some segments of it.

> Hypothesis III, as stated in Chapter III, was: There will be a positive relationship between the "epigenetic growth and resolution" score depicting an overview of the ego stage development of the adult learner as measured by the Boyd "Self Description Questionnaire" and trust as measured by the Rotter scale.

Hypothesis III was tested within the sample as a whole and tested within segments of the sample in a pattern similar to those used in Hypothesis II. (See p. 191.)

Table 8 presents the correlations and critical values for data relating to Hypothesis III.

For the total sample, the correlation coefficient, $r = .07$, suggests a positive linear relationship between the two variables, trust and "epigenetic growth and resolution," but this correlation is not even close to the

Table 8.--Correlation of the "epigenetic growth and resolution" scores and the trust scores within a sample of 330 adult students in a suburban community college.

Segment	Correlation Coefficient (r)	Critical Value for .05 Level
A Total Sample (N=330)	.070	.113
B1 Males (N=199)	.044	.138
B2 Females (N=131)	.126	.174
C1 17-21 years (N=101)	.048	.195
C2 22-32 years (N=160)	.065	.159
C3 33-48 years (N=69)	.213	.241
D1 Males 17-21 (N=64)	.027	.250
D2 Males 22-32 (N=110)	.005	.195
D3 Males 33-48 (N=25)	.120	.381
D4 Females 17-21 (N=37)	.147	.320
D5 Females 22-32 (N=50)	.266	.273
D6 Females 33-48 (N=44)	.220	.291
E1 High Empathy (N=171)	.094	.148
E2 Low Empathy (N=159)	.046	.159
F1 High Trust (N=172)	.089	.148
F2 Low Trust (N=158)	.092	.159
G1 High Epigenetic (N=181)	.030	.148
G2 Low Epigenetic (N=149)	.081	.159

critical value which would be accepted for the .05 level of significance. The break down of the sample into segments revealed no significant relationships for any of the sub-samples.

The scatter diagram for the total sample of the epigenetic scores and the trust scores (Table 9), substantiates that though there appears to be a positive linear relationship, it is too slight to be significant.

Differential score level scatter diagrams were then examined to see whether any significant relationship between epigenetic scores and trust scores would be shown. None of the correlations on Table 9 for this relationship within segments E, F, and G were significant at the .05 level. These groups may be observed on Table 9 by examining scores on the scatter diagram above the mean or below the mean on the Y axis for trust, and on the X axis for the epigenetic scorers.

Hypothesis III received no support from the data and was rejected. There was no statistically significant correlation between trust and "epigenetic growth and resolution."

Hypothesis IV stated that:

> There will be a positive relationship between the "epigenetic growth and resolution" score depicting an overview of the ego stage development of the adult learner as measured by the Boyd "Self

Table 9.--Distribution of epigenetic scores as related to trust scores for a population of 199 males and 131 females aged 17-48 years.

Y														
3-						1			2					
									1					
								1						
								1						
2-						1		3						
						1		2						
					3	3		2		2		1		
					2	6		4		4		2		
1-				1		2		2		6		3		
				2		4		2		8		11		3		1
			2		1		3		10		10		5		1	
	1				2		8		8		15		5		2	
0-					1		3		12		7		6		3	
					3		7		10		10		3		1	
			1		2		2		6		6		1			
	1				1		1		7		9		7		4		1
-1-					2		3		2		4		5			
					1		1		4		4					
							2		2		1				1	
	1				1		1		2		2		3			
-2-							1		2		1		1		1	
							1				1				1	
											1					
									1				1			
-3-																
													1			
	-3		-2		-1			0				1		2		3

X

Y axis trust. X axis epigenetic.

Description Questionnaire" and empathy and trust in combination.

Empathy and trust in combination would be reflected in the multiple correlation between the epigenetic score and empathy and trust combined. The multiple correlation coefficient, r = .167, suggests a positive linear relationship between "epigenetic growth and resolution" and the two other variables, empathy and trust, for the total sample. This is beyond the r = .113 figure used to establish a level of significance for 300 subjects at a point beyond the .05 level, and was in fact, shown to be significant at the .01 level. When the best linear composite of empathy and trust was correlated with the epigenetic score it was found to be statistically significant.

From the data regarding the total sample it would seem that there exists a statistically significant relationship between the "epigenetic growth and resolution" score and empathy and trust in combination. This multiple correlation is not significantly higher than the simple correlation of the epigenetic score and empathy which had shown r = .15 and which had been accepted as beyond the .05 level of significance. It should be noted that the column labeled "Level of Significance Represented" is not the critical value seen on previous similar tables. This is a column of probability values (p values) which were computed in the multiple correlation program.

Table 10.--Relationship between epigenetic scores and empathy and trust in combination for the total sample and sub-sample groups, and the level of significance observed.

Segment	Multiple Correlation (r)	Level of Significance Represented
A Total Sample (N=330)	.167*	.01
B1 Males (N=199)	.188*	.03
B2 Females (N=131)	.134	.31
C1 17-21 years (N=101)	.240*	.05
C2 22-32 years (N=160)	.150	.17
C3 33-48 years (N=69)	.260	.10
D1 Males 17-21 (N=64)	.307*	.05
D2 Males 22-32 (N=110)	.125	.43
D3 Males 33-48 (N=25)	.168	.73
D4 Females 17-21 (N=37)	.147	.69
D5 Females 22-32 (N=50)	.269	.17
D6 Females 33-48 (N=44)	.255	.25

*Statistically significant at the .05 level.

In examination of the break down to sub-samples (Table 10), it is noticed that the multiple correlations chart shows, as did the simple correlations of the "epigenetic and empathy scores" charting (Table 6) that males, the 17-21 year olds (male and female), and the males 17-21 years old show correlations significant at the .05 level or beyond. It is possible that if the sample had contained more than 131 females, the correlation for females would have shown levels of significant relationship among the variables.

As reflected in this data, we are just as well off to observe the relationship between the epigenetic score and empathy through the simple correlation as we are to examine the best linear composite of empathy and trust. In relation to the epigenetic score, empathy taken in simple correlation tells as much about the linear relationship as does the multiple correlation of empathy and trust.

Since the Hypothesis IV was supported by the total sample data as statistically significant beyond the .05 level of significance, it was accepted. Examination of the sub-samples tended to confirm where the power of the scoring groups within the total sample was located.

Summary

Hypothesis I, which predicted that there would be a positive linear relationship between the scores of

empathy and trust, was not accepted. The scores were not correlated at the selected level of significance. (See Table 3 and Table 5.) Empathy and trust appear independent of each other within this sample.

A summary of the research findings for the total sample of 330 adults would show a small and relatively insignificant relationship between and among the variables shown on Table 11. The level of significance of .05, accepted for this study, means that a correlation of r = .113 or above is necessary for a sample consisting of 300 subjects or more.

Table 11.--Correlation coefficients for relationships among empathy, trust and "epigenetic growth and resolution" for 330 adult community college students.

Variable	Empathy	Trust
1. Empathy	.---	.---
2. Trust	-.007	.---
3. Epigenetic Growth and Resolution	.15*	.07
4. "Epigenetic growth and resolution" relationship to empathy and trust in combination, r = .167.*		

*Statistically significant at the .05 level.

As shown on Table 11, the simple correlation of "epigenetic growth and resolution" and empathy, r = .15, was statistically significant. The multiple correlation

of "epigenetic growth and resolution" and the combination of empathy and trust, r = .167, was significant at the .01 level.

The relationships, if they do exist, do not appear to be strong in the total sample data.

Hypothesis II, which stated that there would be a positive correlation between "epigenetic growth and resolution" scores and empathy scores, was supported by the correlation, r = .15, for the total sample. (See Table 11.)

Upon examination of segments of the total sample, the following groups revealed statistically significant correlations.

Table 12.--Summary of simple correlation coefficients showing statistically significant correlations between "epigenetic growth and resolution" scores and empathy scores for sub-sample groups.

Sub-sample Group	Correlation Coefficient (r)	Critical Value for .05 Level
Males (N=199)	.178	.138
17-21 years (N=101)	.235	.195
Males 17-21 (N=64)	.305	.250
High Trust Scorers (N=172)	.167	.148
Low Epigenetic Scorers (N=149)	.253	.159

These correlations within the sample segments are suggestive, but the results are not striking. They appear to be the kind of fluctuations that are possible when the sample is broken down into a number of sub-samples.

Hypothesis III proposed that there would be positive correlation between "epigenetic growth and resolution" scores and trust scores. Neither the total sample correlation, r = .07, nor the sub-sample correlations (see Table 8) showed correlation coefficients statistically significant at the .05 level.

Hypothesis IV examined by multiple correlations the possibility that empathy and trust in combination would show positive correlation with the "epigenetic growth and resolution" scores. This hypothesis was supported for the total sample by a correlation coefficient of r = .167, which was significant at the .01 level. Sub-sample groups which showed multiple correlations statistically significant were essentially the same as those which had been shown significant on Table 12 for "epigenetic growth and resolution" and empathy. Multiple correlations are shown on Table 13.

There was a weak but positive relationship between the scores of "epigenetic growth and resolution" and empathy and trust combined. The addition of trust in a combination of empathy and trust did not significantly increase the multiple correlation beyond the correlation

achieved in the simple correlation of the epigenetic score and empathy.

Table 13.--Summary of statistically significant multiple correlations between "epigenetic growth and resolution" and the combination of empathy and trust.

Sub-sample Groups	Multiple Correlation Coefficients (r)	Level of Significance Represented
Males (N=199)	.188	.03
17-21 years (N=101)	.240	.05
Males 17-21 (N=64)	.307	.05

CHAPTER VI

SUMMARY, CONCLUSIONS, AND IMPLICATIONS

This chapter includes a general summary, the findings, the conclusions, and some statements concerning the implications of these results for adult education and for future research.

Summary

The primary emphasis of this research was on an analysis of relationships between the personality factors of empathy and trust in adults.

The second emphasis was on exploration of relationships between these factors, separately or in combination, and the "epigenetic growth and resolution of psychological crises" depicting an overview of the ego stage development of adult learners.

Specifically, the study proposed to isolate basic evidence related to general theoretical formulations about the three factors and to describe the relationships between and among them as they existed at a point in time. No attempt was made to devise controlled experiments in order to explore the dynamics of the relationships studied.

Through a review of the literature of empathy and trust it was found that theorists attributed development of these personality factors to experiences of interpersonal relationships during the earliest ego stage. This exploratory study was designed and hypotheses developed to investigate the relationships between these variables as they existed in a sample population of adult students.

Empathy was seen as an extremely important factor in relating to others all through life, with implications of interaction in the sharing, interpersonal relationships of living and learning, and as an important factor in adult education. Empathy was closely delimited to the component of affective sensitivity, the ability to detect and describe the immediate affective state of another. The measure used for this variable was Campbell's "Scale to Measure Affective Sensitivity (Empathy)." This scale calls for the subject's detecting the client's feelings while viewing videotaped client-counselor scenes. The subject was asked to select from multiple-choice suggested responses the statement most closely describing his perception of the immediate affective state of the client.

Trust was viewed as basic to accurate communication and interpersonal transactional learning relationships. Any change of behavior implies the need for trust of self and trust of others. Trust was viewed as interpersonal trust, trust of others, and was defined as an expectancy

that another individual or group can be relied upon. The Rotter "Interpersonal Trust Scale" was the instrument utilized to measure trust. It calls for responses in a noncompetitive way to a wide variety of social objects within the subject's experience.

The "epigenetic growth and resolution of psychological crises" depicting the ego stage development of the adult learner was measured by the Boyd "Self Description Questionnaire."

The three scales were administered March 4 through March 10, 1970, in classrooms of Thornton Community College (1) where closed circuit T.V. was available in the evening Adult Education program and (2) where the instructors had volunteered to cooperate in allowing class time to be used for the project. From the 330 returns utilized within the study, there were 199 from males and 131 from females between seventeen and forty eight years of age.

Pearson product-moment correlation coefficients were calculated to describe the degree and direction of linear relationships between variables, and multiple correlations were computed to describe the relationship among all three variables. Scatter diagrams were generated from the data to explore further whether possible curvilinear relationships were being shown between the variables.

Findings

1. The analysis clearly did not support the hypothesis that there is a positive linear relationship between empathy and trust. It was found that empathy and trust were not correlated at the selected level of statistical significance. Thus, given the two instruments and the data they provided, empathy and trust appear essentially independent of each other.

2. A correlation, significant at the .05 level was found to exist between "epigenetic growth and resolution" and empathy for the total population.

3. Segments of the total population shown to have "epigenetic growth and resolution" scores bearing statistically significant level positive correlations with empathy scores were: males; younger subjects, male and female, aged 17-21; males, 17-21; those who were high scorers on the trust scale, and those who were low scorers on the epigenetic score.

4. The trust variable independently did not correlate with the epigenetic score at any accepted level of significance. It would seem evident that interpersonal trust as measured by the Rotter scale is not positively correlated with either the empathy score or the epigenetic score.

5. A multiple correlation coefficient for the combination of empathy and trust in relation to the

epigenetic score was slightly higher than the simple correlation coefficient for "epigenetic growth and resolution" and empathy.

Conclusions

1. The data reported in this exploratory study have suggested that the personality factors of empathy and trust are independent of each other. This could suggest that if there is a relationship between the theoretical constructs of empathy and trust, there is not a significant relationship in the empirical constructs which were measured and shown within the various segments here reported.

It would seem that there may exist diverse levels of empathy and trust within the adult learner. Furthermore, the previous assumptions that empathy and trust exist in and/or move in concert, as pointed out in Chapter I, should be questioned. Since the traits do not appear to correlate, we cannot with full confidence use a measure of one trait to determine the other trait.

2. In relation to the epigenetic score, empathy taken in simple correlation tells us as much about the linear relationship as does the combination of empathy and trust. The addition of trust did not add significantly to our knowledge of the relationship. Since the mean for the empathy score for the sample was only one standard deviation above the chance score, the validity of even

statistically significant correlations focusing on empathy as a variable is questionable.

3. Young adult males, 17-21, appear to be the sub-sample group who were responsible for the significant levels of correlation between "epigenetic growth and resolution" scores and empathy scores. In the segment correlations by sex, age, and sex by age the fluctuations of the correlations were very close to zero. There was not sufficient strength to allow citing these as extremely significant findings, and they are merely suggestive of the possibility that such sub-samples may be areas for future research.

4. It may be concluded from the findings of this study and from other research reported in the literature, that factors of personality do not lend themselves readily to measurement.

5. The relationships within the present study may just be masked by the measurement, but with measures that are more appropriate for a sample from the general population of adults, researchers in subsequent empirical studies may well find a significant relationship between the variables. The relationships may further be masked by the global treatment of the data. The possibility of a positive relationship between affective sensitivity (empathy) and interpersonal trust is still a viable one, even though the present study does not lend any support. It may be

concluded that there was lack of precision in the instruments, and that there were other situational factors influencing during the testing which may have further skewed the results of the study.

6. There is not a sufficiently large relationship between and among the variables of empathy, trust and ego stage development shown from the present study to be of immediate, practical applicability to practitioners in adult education and those in other helping professions such as social work, psychotherapy, counseling and family life education who are educating adults. The findings of this relationship study, in and of themselves, would be of little or no practical value in working with problems of personality and/or behavior change in adults.

Discussion of Results

The researcher attempted to promote as great a consistency as possible in the administration of the instruments. By videotaping the instructions to subjects (see Appendix) the material was the same though viewed by subjects in varied testing rooms on four different testing evenings. The videotape eliminated the varieties of presentations or interpretations which might have arisen with the numerous instructors involved.

There are several factors which could account for the results within the present study.

First, the definition of empathy as "ability to identify the emotions of another" was measured by the Campbell Affective Sensitivity Scale. This scale does not call for an actual person-to-person encounter in which the subject would be called upon to communicate this sensitivity to another.

Though the scale which was chosen for the measurement of empathy supposedly would help to identify individuals sensitive to the present feeling state being portrayed by a client in an interview situation, the low median score of the sample tested, when compared to and contrasted with the median scores of groups used in the validation of the instrument, suggests that the scale may be measuring factors other than affective sensitivity, such as the competence by active trainees in the field of counseling in comprehending the clients' presentations of self.

The empathy measure had poor video and sound quality, making it difficult for subjects to follow the material presented by clients and for subjects to ascertain client feelings being expressed.

Furthermore, the mean for the empathy score for the sample was only one standard deviation above the chance score. The mean of the empathy score was 27.7 with a standard deviation of 5.5. Since 22 is the score of chance in a scale of 66 items which had three choices per item,

it may be that the empathy measure essentially is being scored extremely close to the random chance level within the present study.

In summary, it should be recognized that these factors were present in a similar way for all subjects within this study. However, the individual reactions of subjects to the absence of live person relationships in the empathy measurement may have influenced scores of some subjects more than others.

Secondly, some factors which may be present in relationship to the trust variable need to be mentioned. There was no challenge of the subject to "trust the other" in an interpersonal relationship, since the Rotter Interpersonal Trust Scale is a paper-pencil test. This may have influenced scores of some subjects more than others.

An effort was made to ascertain possible reasons for the variable of trust in the present data not producing strong relationship correlations. It is of interest to compare the mean score for the Interpersonal Trust Scale for Rotter's sample of 547 subjects with the mean score of the 330 subjects in the present study. The mean score Rotter found was 72.41 with a standard deviation of 10.90. Within the present study the mean score was 68.69 with a standard deviation of 10.02. Since the mean of the present study was less than one half a standard deviation from the Rotter sample utilized when the scale was

developed, it would seem that the range of scores is fairly similar in the two populations. Upon examination of the comparison of means and standard deviations, it would seem that restriction of range along a straight line is not bringing the material of the present study into an abnormal density on a scatter diagram, and that restriction of range of the scores is probably not a plausible explanation of lack of significant correlations in the present data.

Regarding the failure to find significant correlations between empathy and trust in the predicted direction, it is felt that the measures for empathy and trust might not have been sensitive enough to show existing differences. Perhaps modification of these instruments or use of more appropriate measures for these personality factors would produce other findings or support the findings of the present study.

The data do not support the assumption that there is a positive relationship between the epigenetic score and the trust score. The ego stage development measure, through which the epigenetic score is derived, ascertains (1) whether trust is a part of the basic attitudinal stance of the subject tested; and (2) if the trust appears from the like-unlike scale within the self-description, it is further examined to see whether the ego stage I was resolved positively or negatively. Further, it is found (3) whether trust is reflected in the subject's areas of

ambivalence; and (4) whether trust is considered pertinent to the current ego stage crises being resolved.

Since the factor of trust versus mistrust is directly measured among the range of eight ego stages within the original ego stage development scale from which the epigenetic score was derived, this may be obliquely part of the reason for the insignificant correlation of relationship between trust and the epigenetic score, which is derived from a measure looking at other personality stages beyond the trust stage.

The ego stage development measure appears to be the most adequately developed measure used in the study.[1] Since the "epigenetic growth and resolution" scoring process (see Chapter IV, pp. 161-164) was specifically developed for this study, there are no validation studies of this recent extension of the Boyd instrument.

The total research project, conducted in a sample from a population of students in an adult education evening program, may have been influenced by other factors. Questionnaires of this type are relatively unknown by adults involved in a community college adult education evening program, and may have been regarded with hostility, apprehension and suspicion by the subjects. Instructors in separated classrooms during the four testing evenings had

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[1]Boyd and Koskela, op. cit.

varied relationships with their students. This may have motivated subjects to participate in the present study at a variety of levels of involvement. The distrustfulness of this community may be typical of the present state of community tensions throughout the nation at this time, but such comparison was not attempted or intended at this time. Other "observations during the testing evenings" which may also have influenced the data have been mentioned in Chapter IV (p. 168).

It must be remembered that a limitation in correlation studies is "the inability to control outside factors the way they can be controlled in experimental studies."[1]

Implications for Future Research

Psychological characteristics of the adult learner are readily admitted as important to consider in programs designed for educating adults and in programs for training those who will become educators of adults. The affective domain has generally been neglected in adult education research studies.

Educators of adults within many areas of the helping professions, concerned with enabling personality and behavioral change, come from a cross-section of humanity. Adult educators, social workers, counselors,

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[1]Games and Klare, op. cit., p. 377.

psychotherapists, mental health workers, clergymen and others come to their work from the general population of adults. There is no present reason to expect that they would differ systematically from the sample of people drawn for this study. This study has focused on people, all of whom interact in interpersonal relationship situations.

The scope of the present research effort was to ascertain in an exploratory study information concerning the broad question of relationship between the three personality factors. Specific kinds of questions were generated for further research. Edwards and Cronbach observe that

> the highest function of research is to help us ask better questions in our next study. . . .Thus the exploratory phase of research is trying to find out what questions the next experiment should ask.[1]

Researchers in subsequent empirical studies may well find a significant relationship between the variables through use of measures which are more appropriate for a sample from the general population of adults.

The correlation of demographic characteristics of a sample of adult learners might well be made and include variables of age, sex, race, marital status, size of family

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[1]Allen L. Edwards and Lee J. Cronbach, "Experimental Design for Research in Psychotherapy," Journal of Clinical Psychology, VIII (1952), pp. 51-59.

of which the adult is head, economic class level, educational level, and cultural background. Differences of groups tested within varied geographic locations may present information concerning adult learners in urban, suburban, or rural regions as well as broad regional differences within diverse sections of the country.

Studies of adult learners such as agency clients, clinic patients, students in different levels of educational institutions, or in settings such as churches, PTA groups, women's clubs or service clubs could provide usable information regarding personality characteristics of adults in settings where educators of adults are endeavoring to change behavior.

Studies of the influence of the setting in which testing is done might be made to discern whether there were consistency of scoring for subjects when tested in a school setting and retested in a non-school setting such as a church, union hall, or club room.

Studies contrasting groups at varied career levels ranging from volunteers, aides, paraprofessionals to top level professionals within selected human service areas such as psychotherapy, social work, education, or counseling might give information regarding the variables that were studied in relation to these additional variables, and that, in turn, would have implications for the planning of continuing education.

Utilizing a particular population of persons in preparation for any one of the human service professions, a specific educational level or career level group might be given pre and post testing to ascertain whether significant change was found in any or all of the variables of the three personality factors as a result of educative experiences, or whether these traits are stable and constant within an individual while being shown in varying degrees in a comparison between individuals.

Individual case study coordination of the relationships of high or low scorers on personality traits of empathy and trust in relation to their "epigenetic growth and resolution" scores would present a whole area for future research.

Some writers have suggested that ego strength reflects in the ability to empathize. Ego strength is recently measurable through utilization of the Boyd measure of ego stage development and is reflected in a high epigenetic score. Within the present study, the relationship between "epigenetic growth and resolution" and empathy was found to be significant beyond the .05 level. Future research might concur with these findings and contribute to a practical predictive process for educators of adults.

It has been suggested within the literature that persons with high empathic ability are highly trusting persons (Chapter I). The findings of the present research

show empathy and trust independent of each other. Further study of these variables within individual adult learners is recommended.

Boyd has stated that "Trust . . . is not an absolute quality, a state defined apart from its context."[1] It is possible that personality predispositions such as empathy and trust are only triggered by situations or settings in which the cues are appropriate for the individual subject to respond fully. It may be that empathy and trust are not simply individual or personal abilities, but may be factors which are interpersonal or situational, set into motion in live-person interpersonal relationships. It may be that measurement of these factors was thwarted within the present study by the videotape simulation and paper-pencil testing based on the spoken word or on reading.

Some literature in the psychoanalytic field has suggested that empathic ability may have been stunted or blocked in the individual during personality development. In this case, the theory that empathy may be a stable, unchangeable trait would need to be examined. Research currently in process in counseling training seems to give evidence that an increase in empathy is possible through educational experiences.

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[1]Boyd and Koskela, op. cit., p. 2.

Greenson had suggested that empathy has a feminine cast.[1] The present study presents contrary information, since males, particularly young males 17-21 years old, revealed statistically significant correlations in the relationship between "epigenetic growth and resolution" and empathy. Dymond's research with a measure of empathy had shown only a slightly superior empathic ability in women.[2] Taft's findings were similar.[3] A recent study by Lindren and Marrash[4] hypothesized that, within their sample of 317 secondary students in Lebanon, females would score higher than males on an Intercultural Insight Questionnaire because of greater empathic ability. Their hypothesis received only weak support, "as is characteristic of comparative studies of empathy among the sexes." They reported that "females scored higher on intercultural empathy than males, but the difference was significant only at the .10 level." Further research is needed on the question "Is empathy a 'feminine' characteristic?"

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[1]Greenson, "That 'Impossible . . .,'" op. cit., p. 16.

[2]Dymond, "Personality . . .," op. cit.

[3]R. Taft, "The Ability to Judge People," Psychological Bulletin, LII (1955), pp. 1-24.

[4]Henry Clay Lindgren and Joseph Marrash, "A Comparative Study of Intercultural Insight and Empathy," Journal of Social Psychology, LXXX (1970), pp. 135-141.

Other questions were generated from the literature and implied within the theoretical base of the present study. A few of these would be stated as follows:

Does the individual level of self-awareness and openness reflect in the adult learner's empathy, trust and epigenetic scores?

Do the individual's defensive mechanisms, unique in strength and content within the personality structure of the individual, correlate in any way with his measured empathic ability, level of interpersonal trust, or ego stage development?

Do persons of high epigenetic scores in ego stage development have more openness to learning experiences? Do they have more self-actualizing experiences, more caring relationships with others, more empathic ability, more interpersonal trust, better interpersonal relationships, more openness with others, or better mental health?

Is there a blockage of innate empathy or traumatization of the development of an individual's empathic ability? Is empathy educated out of individuals?

One generalization within the literature relating to the poverty programs suggests that aides who are themselves among the needy will be able to empathize more effectively with the client's style of life. Is the concept of cultural similarity necessarily a factor in ability to empathize? Does cultural similarity and assumed ability

to empathize make the similarly needy aide a better agent of behavior change than those who are not necessarily culturally similar?

This study was undertaken to contribute to an understanding of the relationship between empathy and trust, and their relationship to the epigenetic growth and resolution throughout the ego stage development of the adult learner. It is hoped that this research, its findings, and the suggestions made will encourage a proportionately greater attention to these intangible factors on the part of adult change agents who plan and carry out programs involving change of personality and/or or behavior in adults.

The attempt to explore the relationships between these complex personality factors has led to an interdisciplinary review of theories. As future research efforts become more specific and solidly founded, it will be possible to ascertain the continuing education needed for personality and/or behavior change in adult learners.

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APPENDIX

APPENDIX A

VIDEOTAPE SCRIPT

(DIRECTIONS TO ADULTS BEFORE TESTING)

Good evening. Tonight your class will participate in an educational research project being conducted within the Thornton Community College Department of Adult and Continuing Education in cooperation with a program of research being done at Michigan State University.

You can help by participating in this project which will contribute to our knowledge of the relationship existing between certain feelings, opinions and background experiences which you, the adult learner brings with you to an education program for adults. While in theory these factors are important to adult learning, very little research has been done regarding them. It is hoped that this research project conducted here tonight will add to our knowledge, and thus assist us in improving adult education, our training of teachers of adults, and the development of adult education courses.

Your participation in the research project will in no way affect your grade in the course if you are currently enrolled in a formal credit class in the Thornton Community

College Adult Education program. If you have taken this series of tests in another class within March, you will not need to take it again.

We would like to assure you of confidentiality, for your names will not be used in any reporting of the research. We would like to be able to promise you as groups that you would get some feedback after scoring, but because of the computer schedules at University scoring centers, the materials will not be ready before your semester is ended and your present class schedule is completed.

The research program tonight consists of three questionnaires. The first questionnaire will explore your response to certain scenes which you will see on T.V. The last two questionnaires are on sheets in mimeographed form, and your responses will be indicated on answer sheets.

Each of you has been given a packet. Within each packet there is a pencil with an eraser. No pens of any kind are to be used during the answering of the questionnaires. Please use these #2 lead pencils. Any others may not be counted by the computer in scoring the tests. Remember--no pens of any kind, please. Use the #2 lead pencils provided with your packet. We do ask that you return the pencil to the packet at the end of the evening since they are on loan from Michigan State University. There is a pink slip of paper provided in your packet. This will be helpful in guiding your place on the answer

sheet pages later during the answering of the questionnaires, and save you time in searching for the line you were about to use in answering.

Please take the answer sheets. There is a blue-ink-color answer sheet with red numbers. Find this now. Fill in the information on the Side 1. Be sure we have your name, date of birth, age and sex. Now, would you please add your social security number in the blank line #1 on the left top of the page under your name. If you can't remember it right away, do not take time to search for it--leave it blank. The social security number will help to identify your complete set of answer sheets and avoid confusions. Do not worry now about the blank labeled "Name of the Test" --this will be given to you later in the instructions.

Now, turn the blue-ink-color answer sheet over to Side 2, and fill in only your name on the line provided. Side 2--name only. The next answer sheet is in green-ink-color. Make sure you are filling in information on the side with the large "1." It is not necessary to repeat this information on Side "2." Put your name--last name, first name and middle initial. Please put your social security number under your name on the left side. Fill in the date, age and sex.

Find the Questionnaire labeled "Affective Sensitivity Scale." It is a 15 page mimeographed scale. Now, take the blue-ink-color answer sheet and on the answer sheet, on

Side 1 (numbered in red ink) at the right side, in the blank labeled "Name of the Test" write the word Affective. Notice the numbering of your choices for answers for each item will go across from left to right. For #1 item, you would choose and answer going across the page. Use your color-paper guide to put under the total line for answering item #1 on the answer sheet to help you keep your place. Then, go on to answer item #2 below it. For this questionnaire, you will have a videotaped series of scenes. We will have a practice session scene so that you can get used to the way it will look. First, let's read the instructions for this test. I'll read them with you. Will you please read along with me silently. . . .

In the practice scene, you will see a "split-screen" presentation of the client and counselor. They were facing each other during the actual counseling session, and were filmed on two cameras. Later the scenes were brought together. Remember you are to identify what feelings the Clients have toward themselves and toward the counselors they are working with. . . . (One scene of "Affective Sensitivity Scale" shown.)

Now we will see the complete series of scenes. You will begin with your questionnaire and fill in your answer sheet on Side 1, according to the number which best states what the Client would say about his own feelings after viewing the same scene. The numbering of answers goes from

left to right for each item on the answer sheet. (Total "Affective Sensitivity Scale" shown.) That was the last scene. Sixty-six scene items in all.

Now, turn over your answer sheet you have just used, and on the Side marked "2," fill in your name, and in the blank space at the right put the word Opinion. When you have done this, put the answer sheet aside to use later. Please take the questionnaire in the heavier paper cover. It is marked "Self Description Questionnaire" and is from the University of Wisconsin. Find your green-ink-color answer sheet which already has the name of the test printed on it, and for which you have already filled out the information on the side marked with the large "1." You will notice that there are two scales for each question. One is marked "Like-Unlike" and the other marked "Pertinency." You will also notice that the numbering of the questions on your answer sheet is quite different from the last test. The numbers go from left to right all the way across the page. If you will use your color-paper guide to help you keep your place, you will probably have less difficulty keeping this answer sheet straight as you take the test. Please open your "Self Description Questionnaire" book so that the back fold is open. You may follow this by watching me do it. You are now at the back of your questionnaire and you have opened before you the instructions. I will read these with you. Will you please read them along with

me silently. . . . Let me remind you that the questions are numbered from left to right on your answer sheet. You are starting on the answer sheet side numbered "1." On Side "2" the answer sheet continues for the remaining questions. It has been found useful to use the color-paper guide that you have been given. Place it on your answer sheet like this.

It is most important that you answer every question, so that every answer is filled in. When you have finished both sides of the answer sheet, please go back and check to see that each scale for each question has been answered. If any answer sheet is missing a mark or if there are two marks for any answer, the answer sheet will be rejected by the computer in scoring. This stops all data analysis and is very expensive in terms of computer time. Make sure that every scale for every question has one, and only one, clear mark. As you finish this test, please take it to the instructor who will check and re-check to see that all questions have an answer filled in.

You may then start working on the last questionnaire while the checking by the instructor is going on. So, you will just return to your place and take the blue-ink color sheet you have labeled on Side 2 with the word Opinion. Take the "General Opinion Survey" and begin the last test. When you have finished with that final test, you are free to leave, unless your instructor wishes to give you class assignment.

Please return the envelope, the pencil, your questionnaires and answer sheet to the instructor. Before you leave the room, you should stop and check with the instructor to see if your green-ink-color questionnaire had any incomplete answering.

We come to the end of the T.V. time, and you are ready to begin the "Self Description Questionnaire" with the green-ink-color answer sheet. We wish to thank you for cooperating, and for your contribution to research in adult and continuing education.