San Fernando Valley State College

EMPATHY IN PRESCHOOL CHILDREN
AS RELATED TO
SOCIALIZATION

A thesis submitted in partial satisfaction of the requirements for the degree of Master of Science in
Home Economics

by

Bonnie Zera

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The thesis of Bonnie Zera is approved:

San Fernando Valley State College

January, 1972
With much love to my husband, Joseph, for his gentle persuasion, constant encouragement, and deep understanding throughout my thesis research and writing.
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ABSTRACT

EMPATHY IN PRESCHOOL CHILDREN
AS RELATED TO
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Bonnie Zera

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The purpose of the present study was to investigate whether
socialization experiences of preschool children influence the devel-
opment of empathic skills. The present study investigated how
preschool children would react to a situation testing this phenomenon
at their level. This was done by means of a dialogue involving the
use of hand puppets. In addition to the comparison of empathy and
socialization factors, the influence of other variables was inves-
tigated. Age, sex, ordinal position and number of siblings were
studied as they are related to empathy.

The subjects of the study were fifty-three children between the
ages of three years four months and five years four months from the
San Fernando Valley State College Preschool Laboratory.

The subjects were tested using a puppet interview. An empathy
score for each child was obtained from observational and dialogue
records kept during the interview. A parent questionnaire yielded
a child's socialization score.
The findings of the study were:

There is a low positive correlation between socialization and empathy. There are no significant relationships between age, sex, ordinal position and number of siblings and empathy.

There are no significant relationships between other socialization factors such as travel experiences, housing, family discussions, and recreational activities as they relate to empathy.
CHAPTER I
INTRODUCTION

Many philosophers and sociologists have considered empathy to be an important form of communication. Studies have been conducted relating empathy to other factors, such as role theory, identification, and aggression, but with adult subjects. The importance of the present study lies in the fact that few others have focused on the origins of empathy in the early years of childhood. This study represents an attempt to investigate the origins of the empathic process or abilities in the very young child. The purpose of the present study was to investigate the development of empathic skills in the preschool child as it related to socialization experiences. Empathy by its very nature demands an awareness of others.

Since the subjects were preschool age children, dialogue involving the children and puppets was devised.

STATEMENT OF THE PROBLEM

The focus of the present study was to assess the influence of socialization factors in the development of empathy in preschool children. It is assumed that as a child grows up his opportunities for socialization increase, therefore his empathic skills will be more advanced. In other words, the older the child, and hence the wider
his exposure to socialization experiences, the higher the level of his empathic skills.

The null hypothesis tested in this study was: The degree of socialization will not effect the development of empathic skills in preschool children. There were four sub-hypotheses in this study. They were:

1. There is no relationship between age and empathic skills.
2. There is no relationship between sex of the child and empathic skills.
3. There is no relationship between the ordinal position of the child and empathic skills.
4. There is no relationship between the number of siblings in a child's family and his empathic skills.

DEFINITION OF TERMS

Certain terms need to be defined as they are used in this study.

Empathy

In this study the concept of empathic skill synthesizes the many definitions of empathy and implies an ability to respond to an "as-if" situation - put oneself into another's place and respond as if one were in fact the other person.

Socialization

Perhaps the broadest definition of socialization is given by McNeil and implies the shaping of the person into a socially accept-
able form. (17:2) Scholars of social behavior have defined socialization for their own particular areas of interest. Psychologists refer to "all the processes by which an individual acquires his personality characteristics, motives, values, opinions, standards and beliefs." (17:2) Psychoanalytic theory views socialization in a developmental framework. The stages of development are oral, anal, phallic, latent, and genital at which stages inputs differ and different socioemotional learnings are acquired. (6:37) Sociologists and anthropologists focus on the means by which the "raw material of biological man is transformed into a person suitable to perform the operations of society." (17:3) Learning theorists imply that socialization is that limited aspect of learning that concerns social behavior among human animals. (6:41)

In this study socialization shall mean "the process of the individual's interaction with others in the human group." Enculturation takes place within the socialization process, as the individual is fitted into his culture by accepting as his own the norms, values, and attitudes of the group with which he interacts. (17:13) Socialization shall be defined as comprising travel experiences, recreational activities, housing and exposure to certain significant people.

LIMITATIONS OF THE STUDY

The San Fernando Valley State College Preschool Laboratory, from which the sample was drawn, was composed of children from
white, middle-class backgrounds. It was assumed that the intelligence level and the racial and religious backgrounds of all the subjects were similar. The results of this study can only be with respect to a similar population of children.

In preparing to study the development of empathic skills in preschool children as they are influenced by socialization factors, it was necessary to establish the boundaries or limitations of these factors. It would have been ideal to study the qualitative aspects of the socialization factors but the measurement tool used, a parent questionnaire, limited the analysis to the quantitative aspects of socialization. Therefore, the degree of socialization shall imply a quantitative measurement. The measurement used in the study limited the observed behavior.
CHAPTER II
REVIEW OF LITERATURE

EMPATHY

Empathy, according to the American College Dictionary is defined, "... entering into the feeling or spirit of a person or things; appreciative perception or understanding; motor mimicry." (l:393)

Alfred Baldwin defined empathy as a mysterious process. (8.83) Robert Hogan reiterates that empathy is indeed a mysterious process. He developed an empathy scale within the framework of a multidimensional theory of moral development. His theory predicts that a person who fails to internalize parental prohibitions and the rules of society will not necessarily become delinquent. Rather, if he learns to recognize the existence of the rights of others, then he may behave appropriately despite experiencing society's rules as alien and external. (10:307)

Many researchers have attempted to study the origins of empathy. Many studies also have established a relationship between empathy and constructs such as identification, role theory, and socialization, and between empathy and personality traits such as aggression.

Empathy has been described by Ernest Schachtel as an instinctual form of understanding which may decline as the individual matures. (11:59)
He observed that a child first uses the "proximity senses" of taste, smell and touch to experience his physical and social world. Gradually his culture, his parents, and teachers discourage his use of the proximity senses. Schachtel suggests that culture also inhibits empathy by enforcing the use of conventional categories and images. To the degree that he conforms, the individual surrenders his ability to relate spontaneously and directly. Thus, as a civilized adult, he becomes more estranged from his environment than he was as a more "animal-like" child. Schachtel discussed the possibility of empathic abilities atrophying at the adult level. His explanation of this constriction of empathic powers helps us to appreciate "blind spots" in the empathy of many adults. (11:16)

The child is more fully open to his environment and has less need to control and to manipulate. He is eager for experience and is not coerced by inner needs and by convention to select and to discriminate among people and the objects with which he will identify. He is playful, and experimental. The adult, on the other hand, focuses on specific and conscious goals, and practices selective inattention to qualities in objects for which he has no immediate use. He has only the tunnel vision which he requires for navigating the route which is already determined. (11:16)

In some individuals, like poets, says Schachtel, the power to identify, to respond more sensitively, and to use a wider variety of images may never diminish and may even increase with age. (11:61)

Feshbach and Roe found that while socialization may be one of many contributing factors in the development of empathy, it cannot be
considered the sole or causal factor. Socialization experience may enhance the individual's understanding of a social event, but do not assure his affective involvement in that experience. (7:141)

Robert L. Katz attributes empathy to biological variables. One of these variables refers to the autonomous capacity one has: we are born to understand. Katz states that several eminent psychiatrists, Adler, Buber and Murphy among them, confirm this view of empathy in conceptions of personality structure. Katz feels that "we can conceive of the actions as well as the motives of others because we have within ourselves at least the potentiality for the same experience." (11:62) He postulates the theory of "once we were one"; of humanity as evolving out of a common source. If we are able to recognize the emotion of others, we are actually engaging in an act of re-cognition. (11:64)

Another postulation in his theory is the notion of "two of a kind". Empathic assessment becomes possible between two individuals because they share the same anatomical, physical and sensory structures. (11:67)

Another biological variable delineated by Katz as underlying empathy is "natural imitators." An essential part of the biological system of communication is readiness to imitate. The infant has a built-in sensitivity to the actions and cues of others. Much of his mimicking derives from his social experiences, but the basic sensi-
tivity and openness to suggestion are built-in. (11:70)

The empathic skill is often described as archaic, primitive or instinctive because it precedes the more cultivated use of secondary processes of thought. It is a "natural" or automatic form of communication because it involves more of the instinctive apparatus which still seems to form part of the human equipment. The impulse to imitate and to engage in playful activity, both physical and imaginative, are both parts of the biological endowment. They play a larger part in empathy than they do in the more secondary process of thinking and analysis. (11:70)

Another biological element enhancing the development of empathic skill is the human capacity for emotional affiliation. According to Katz, we tend to feel driven to affiliate with others, to relate with affection, and to support one another. (11:70)

George Mead explains that empathy is largely a form of emotional communication. In regard to the other person

"We feel with him and we are able so to feel ourselves into the other because we have, by our own attitude, aroused in ourselves the attitude of the person whom we are assisting." (16:299)

Melvin Rader paraphrases Theodor Lipps definition of empathy.

"... that we imaginatively identify ourselves with an object by reading our feelings and vital responses into it, these feelings and responses being rendered appropriate by our fellow-feeling with the object." (20:383)

Charles Darwin saw this theory as one in which the imitated aroused the same feeling in the imitator.

Without such empathy or imitation, we would have a conception not an experience of the other person's feelings. Empathy also engages more of the personality, mental images become more varied and vivid, the perceiving activity is more intense, and the knowledge of the other person has the feel of actuality because it is more direct and more personal. (11:94)
Empathy can certainly be seen as a "mysterious process." Its origins are not clear, its measurements inaccurate and open to debate, and its very qualities are elusive. Is this a quality everyone has but some use more effectively? Does the use of this quality depend upon something else, some other factor, to reach its potential? Does the possession of this other factor, or factors, automatically insure the possession of the empathic quality?

ANTECEDENT CONDITIONS OF EMPATHIC BEHAVIOR

Socialization

Although the phenomenon of empathy can be easily demonstrated, its antecedents and the learning processes involved in acquiring the skill are much less clear. Social experience is obviously one important precondition: the child must have the opportunity to learn to interpret cues to others' feelings. The child who interacts more may become more realistically empathic. (8:83) One very important factor in empathic development then seems to be socialization.

Albert J. Solnit's concluding paragraph from his paper on "Failure to Socialize in Early Childhood" reads:

In order to promote social development that is vigorous, balanced in its concern for self, family and the community and joyously responsible for future social planning we must provide children with a continuity of affection, guidance, and protection. We must provide them with levels of stimulation that respect their individual and collective tolerances with opportunities for expressive behavior and social experiences. We must enable them to live their lives in a humane community rather than to be lived by
their drives or submerged by their society. (23:90)

If this statement is accepted as being true in describing successful socialization, then Rene J. Dubos cites the dangers of "over-socialization."

The humanness of man is not innate; it is a product of socialization. Some of the peculiarly 'human' traits disappear under conditions of extreme crowding, probably because man achieves his humanness only through the socializing effect of a truly human group in order to become and remain human.

The human species probably became adapted through evolution of social life in small groups where each member knew each of the others personally, perhaps having a need for a larger social gatherings from time to time but certainly not too often. Now and then, furthermore, man needs to be by himself or at most with a few intimate associates. Man reacts to continued oversocialization with all sorts of frustrations, repressions, aggressions and fears that may develop into genuine neuroses. (5:141)

One cannot write about socialization and education today without taking into consideration our shrinking world and the revolutions now taking place in mass communication. Contemporary writers point continually to the effects on young children of television, high mobility, family disintegration, desegregation, the civil rights movement, and the threat of global war. (12:13)

American society, vastly complex and highly technological, consists of layers of subcultural patterning of behavior. The child's process of socialization can therefore take many forms. (17:43)

Calvin F. Settleage at a symposium on Issues in Human Development, speaks of the cultural factors influencing socialization. In
our American culture today, the extended or kinship family is of relatively little importance as compared to European cultures and some of the so-called primitive cultures. In these latter cultures, a child is not wholly dependent upon his mother and father for his care as in our own culture, and his needs may be met by a variety of other people, including older siblings and adults of various ages in the kinship family. The circumstances would appear to facilitate socialization both through increasing the number of people with whom the child has experiences, and through decreasing the sometimes pathological intensity of the relationship with the parents. (22:107)

As we consider the family in American culture however, the changing nature of the socializing functions in our contemporary society strikes us. Today, it is widely recognized that the family is no longer the setting for the economic, social, recreational, educational and religious functions it once fulfilled. Other institutions have taken over some of these functions, eroding the once all-encompassing nature of the legendary American family. In its urban setting today, the American family seems to be limited to answering its members' needs for companionship and emotional fulfillment and in numerous instances, not too successfully at that. (12:43)

Settlement feels another significant problem on socialization is the lack of agreement among parents as to values and child rearing
King et al. feel that as the American family becomes increasingly mobile, a variety of agencies take over the process of socializing and enculturating the child. These agencies include the school, the churches, the welfare organizations, the mass media (particularly T.V.) and the peer group. Hence, the child's socialization tends to become fragmented among these agencies, with their conflicting and competing influences and goals. (12:45)

Self-concept and Empathy

The child begins to acquire an awareness of his own attributes through his experiences with the people who surround him as early as his first weeks of life. As he develops, he reflects these experiences in his personality and behavior. This self-recognition has been named the concept of the "looking-glass self" by C. H. Cooley. A social self of this sort might be called the reflected or looking-glass self:

"Each to each a looking-glass
Reflects the other that doth pass."

A self-idea of this sort seems to have three principal elements: The imagination of our appearance to the other person; The imagination of his judgment of that appearance, and some sort of self-feeling, such as pride or mortification. The comparison with a looking-glass hardly suggests the second element, the imagined judgment, which is quite essential. The thing that moves us to pride or shame is not the mere mechanical reflection of ourselves, but an imputed sentiment, the imagined effect of this reflection upon another's mind. (3:184)

G. H. Mead's theory proposes stages in the development of the
self-concept. He also investigates the background of self. He speaks of background factors in the progressive emergence of the self-concept. The child first uses gestures, then language and activities - the communicative skills - which prepare him to move through the play and game stages and into subsequent levels of self-development. Each stage is dependent upon the preceding one.

Play in this sense, especially the stage which precedes the organized games, is a play at something (16:150) ... The game represents the passage in the life of the child from taking the role of others in play to the organized part that is essential to self-consciousness in the full sense of the term.

The fundamental difference between the game and play is that in the latter the child must have the attitude of all the others involved in that game. (16:153)

This is how the child begins to internalize the "rules of the game" or the norms and laws of society, and to make them standards by which to guide his behavior as he moves toward adulthood.

This is the same theory Hogan spoke of when he discussed his empathy scale. He postulated that a person who failed to internalize parental prohibitions and the rules of society will not necessarily become delinquent but rather, if he can learn to recognize the rights of others, or be empathic, then he may behave appropriately in that society, despite his failure to internalize expectations.

To Cooley, human nature is made up of the basic sentiments of man, - of such feelings as love, shame, vanity, ambition, envy, hero-worship, and cruelty. Admittedly, these sentiments vary and are expressed differently in different cultures, but the existence of such sentiments is universal. Having these
sentiments implies the ability to empathize with others, to place oneself imaginatively in their positions and to feel as they do.
(6:13)

Role Concept and Empathy

The development of role concepts serves as a bridge between the person and society.

Role theory seeks to explain in broad terms the process by which the child becomes a functioning member of the group; it does not seek to account for the unique expression in interpersonal relationships of particular opinions, attitudes, sentiments or traits. (6:21)

The child learns the ways of the group through other people - these are his "significant others." Significant others define the world for the child and serve as models for his attitudes and behavior. They teach some role behavior through direct instruction. They sometimes stress norms and values rather than roles. Significant others teach the child through their behavior in his presence and the feelings and attitudes they express. (6:27)

Emotional ties are necessary for the development of these role concepts, since a child must experience primary relationships in order to empathize with other persons and to develop a basic psychological security. (6:30)

Socialization is important as an organizing force within the organism, and as such an organizing force it involves the use of other people, the experiences of other people, the interaction with other
people, as parts of a learning process that helps determine what picture the individual has of himself in relation to other people.

(14:92)

The child finds himself in situations in which he must respond to the expectations of several people at the same time.

As he develops, the generalized other becomes an internalized model consisting of the standards, by which he views and judges his own behavior, the perspectives which determine whether he is pleased or displeased with himself.

Socialization is most important in learning. The child who has the greatest difficulties in learning is the one who is not available to the learning process. He may be alienated, aloof, mistrusted, or afraid. (14:92) Socialization, is a process by which an infant born with behavior potentials of a very wide range learns to limit or channel this behavior into the narrower range of patterns acceptable to the group to which he belongs. (13:96)

**Empathy as Related to Ordinal Position and Number of Siblings**

Psychoanalytic theory has long emphasized the role of the parent in determining the personality of the child. Alfred Adler speaks of the importance of the family constellation in this regard. He felt that one of the most influential factors in forming the child's life plan was his place in the family constellation. It is upon this fact - whether a child is an eldest, a second, a youngest, or an only child - that many of his future attitudes towards life depends. (7:159) It is not the child's ordinal position of itself that matters but rather, his actual experiences in that position. (76:24)

Based on research for his book *Family Constellation*, Walter
Toman discusses birth order. He states that as families get larger, children turn to each other for what they cannot get from parents. Siblings are an integral part of one's early life and hence must have an impact on the way one learns to relate to other people. Siblings are a person's first peers and they are present during most of all of one's early formative years. Sibling position is likewise important. Oldest children will tend to learn to be leaders in spite of motherly warnings to stop bossing their younger brothers around. Similarly, younger siblings will tend to become accustomed to being followers. First-borns will find relationships in which they can dominate. Middle children tend to learn double or even triple roles, and so they are usually better prepared for more varied relationships when they are adults. The single child has only his parents to learn from.

(24:45)

In a study concluded by MacDonald it was suggested that some of the observed birth order differences may be largely due to the operation of differentials of socialization by birth order; that is, that firstborns are more highly socialized than laterborns, in the sense that they feel relatively more obligated to conform to the expectations of adults or authority figures. (15:485)

**PUPPETRY AS A MEASURE OF EMPATHY**

Katz states that empathy is perceived as an "as-if" situation. In
a sample situation, the role players change their identities and act as if they were other persons. The "as-if" situation takes on dramatic intensity when a specific and emotionally charged issue is introduced. (11:82)

As individuals speak through puppets, they reveal their understanding of the world in which they live, and thus give an indication of the concepts which they have assimilated. Thus puppets become more than an activity, they serve to integrate many factors into the learning process. (4:14)

Curry and Wetzel in their book Teaching With Puppets state that

as the individual identifies with the role the puppet is playing, he will often transfer to this role some of the observations he has made about himself, his peers, and authority figures in his world. If freedom is present then the puppet manipulators will be able to convey ideas through their actions, and to begin to lose themselves in the world of imagination. They gradually move from actors, conscious of themselves, to reactors to the actions of other reactors. (4:14)

Puppet manipulators often introduce their own feelings and attitudes into a particular event. As they put themselves into the characteristic role of the puppet, they identify themselves with these feelings which they imagine someone else in the same situation might feel. (4:18)
SOCIAL IMPLICATIONS OF EMPATHY

In the Feshbach and Roe study of empathy in six-and-seven-year-olds the results indicate that the empathy measure was distinct from the social comprehension measure and that the variations in empathy cannot be accounted for solely by ability to recognize the affective expressions of others. Given accurate recognition of the affective state of the stimulus person there is still considerable variation in the empathic response to that stimulus. (7:143)

The major empirical finding of theoretical significance in this study was the consistent evidence supporting the hypothesis that similarity between persons facilitates empathic responses. Since individuals can and do vary along many different dimensions, the problem remains one of determining which dimensions of similarity are relevant for empathic understanding. The findings of the Feshbach and Roe study indicate that similarity of attitude and similarity of sex between an observer and a stimulus person enhance empathic responsiveness. It can be inferred then that an exaggeration of differences between individuals tends to reduce empathy.

These propositions have some bearing on a number of social problems. For example, in integrating a school and in working with children from different racial and ethnic groups, focusing on group differences, including positive group qualities, to foster group identity and self-image of group members, may result in decreased
sharing between children of different groups and even between teacher and child. Equal emphasis should also be placed on the similarities among children which relate to and promote common affective experience. (7:144)
CHAPTER III

PROCEDURE

The purpose of the study was to investigate the relationship be-
tween the degree of socialization and the development of empathic
skills in preschool children.

SELECTION OF SUBJECTS

The subjects of the study were fifty-three children between the
ages of three years four months and five years four months from
the San Fernando Valley State College Preschool Laboratory. The
mean age was four years six months.

INSTRUMENTS

The subjects were interviewed using puppets to aid in the
dialogue. While the interview was being tape-recorded, two obser-
vational records, one behavioral and the other a verbatim record of
the dialogue, were being kept. These measures were used for deter-
mining levels of empathy in the Child. (See Appendices A, C, D, E)

The measurements were pre-tested in two settings. The first
pre-test involved fifteen pre-school age children at the Haidn Child
House. The feasibility of using puppets to assist in the dialogue was
determined at this time. The children reacted well to the directions
and responded as expected. The second pre-test was done with eight children from the San Fernando Valley State Preschool Laboratory who were not included in the sample used in the study itself.

Puppet Interview

Keeping in mind the advice of Katz (that the dramatic intensity of a situation is increased when an emotionally charged issue is introduced in the drama or dialogue), a script calling for attitudinal responses from the children was written. (See Appendix A for entire script) The main character of this story was a birthday party thief. The meaning behind the selection of such a character was the anticipated responses of the children. A birthday party is a well-known event and is understood as well as experienced by children of the age level represented in this study. The idea of a birthday party thief was developed to elicit emotional responses from the children. These responses were scaled and scored to yield an empathy rating for each child.

The procedure followed in the interview was the same for all children. The examiner said to each child subject:

Name of child would you like to sit down here? (Indicates chair, Puppets, boy and girl, are on the table) I'm going to sit here because I want us to tell a story. (Takes other chair) Do you like to tell stories? Today the story is about a birthday party. It's going to be fun. These puppets are going to help us tell the story. Do you know how to use a hand puppet? This one is Jackie and this one is Janie. Which one would you like to be
today? For this story I'm going to be the Mommy puppet and I'm also going to be the Daddy puppet (put on both puppets). This is a story about ______________________ and his/her birthday party.

**Puppets**

Four puppets were used to aid in the dialogue. Two adult puppets were manipulated by the tester and the child manipulated the child puppet of his choosing. The puppets were selected for their simplicity and ease of use by the children. The tester's puppets were representative of a "Mommy" and a "Daddy". They were as neutral and common as this investigator could find. The puppets representing the children were identical with the exception of the hair, the boy's being represented as short and the girl's as being long. Both puppets were made of felt; they had lavender-colored bodies, yellow hair, and pink faces. Since there was a choice to be made, this investigator tried to eliminate all distracting and extraneous features except the sex factor. There was an obvious sex difference. (See Appendix B, reproductions of the puppets used in this study.)

**Script**

Eleven questions in the script were rated for their emotional content. (See Appendix F, Part B) All other dialogue served as a vehicle for obtaining the responses to the rated questions. The observational records and these eleven questions were the basis for the empathy score for each child. The observational records were considered to be Part A of the empathy score. These reflected the behavior of the child during the time of the interview. The
dialogue responses formed Part B of the empathy score. These were verbal responses. The investigator was aware of the possibilities of age-related limitations in the young child’s ability to verbalize. It was assumed that as a child ages chronologically, his ability to verbalize increases. In order to assure fairness and not penalize a younger child because of decreased ability to verbalize, it was necessary to devise some factor which would take this into consideration. Therefore, an equalizing or compensating factor was established.

Yarrow points out that one of the characteristics most directly affecting the study of attitudes and values in young children is language skills. The child’s understanding and ability to express himself are critical in attitudinal research. Although language skills of young children are severely limiting for research, the child’s ability to communicate feelings through the limited language he possesses is also notable. Without logical and coherent replies to research stimuli, the preschool child is often well able, with a few well-chosen words, to convey the emotional significance of the stimulus situation. Also, when the content or context of the research is in the familiar world of the child, he may be remarkably perceptive with reference to the variable being studied. (27:656)
Observational Records

One person kept a preliminary observational record, and recorded dialogue verbatim while the other person worked on the observational record during the interview. The purpose of the preliminary observational record was to record the attitude of the child as he came into the situation and also to record the puppet selected, the time it took for the selection, and the ease of manipulation of the puppet. In order to be as objective as possible, the investigator constructed a description of terms and scoring criteria. (See Appendices C, D). It was necessary for the observer to become familiar with these terms and the scoring before the interview took place. The verbatim dialogue and the taped record of the interview were both kept as measures for cross-verification of the children's responses.

Parent Questionnaire

The questions and statements on this questionnaire were formulated in such a way as to elicit responses concerning the experiences the child had in relation to socialization and the process of becoming socialized. (See Appendix H) The questions were divided into two sections, those dealing with experiences in the physical environment, including the child's exposure to changes in housing, travel, and those dealing with human relationships, such as play, family discussions. There was a thirty-nine percent (n=21) return of the parent
questionnaire. Only selected portions of the response were analyzed for this study.

STATISTICAL ANALYSIS

Statistical Tools

All statistical tools were applied twice. Once to the set of scores with the age compensation factor applied and once to the set of scores without the age compensation factor, the raw scores.

The statistical tools used were: Frequency distributions, percentages, correlation coefficients and chi square test. The level of significance applied was .05 level.

Scaling

Refer to Appendices F, I for scoring techniques. The observational record made during the interview and the preliminary observational record were combined to form Part A of the Empathy Score. It included such behavioral and attitudinal dimensions as:

1. Attentiveness to dialogue (A in Observational record).
2. Preoccupation with the puppet (B on Observational record).
3. Manipulative skills (combination of items D and E on Observational record).
5. Classification of attitude (combination of items 1, 2, 3, on the preliminary observational record).

Part B of Empathy Score

Refer to Appendix F, Part B for the scoring procedure for this part of the empathy score. This score represented a rating of the child's ability to verbalize his empathic responses. The age compensating factor was applied to these data.
CHAPTER IV

RESULTS AND DISCUSSION

The data presented in this chapter were collected from the child-puppet interviews, observational records, and parent questionnaires. Fifty-three children were interviewed but only twenty-three were used in analysing the relationship between empathy and socialization. There was a 39 percent return of the parent questionnaire (n=21). The information obtained from the parent questionnaire was used to assess the degree of socialization for each child. The data obtained from the interview and the observational records formed the empathy score.

RELATIONSHIP BETWEEN SOCIALIZATION AND EMPATHY

The null hypothesis tested in this study proposed that there would be no relationship between the degree of socialization and the development of empathic skills in preschool children.

The empathy score was derived from the scaled responses to the puppet interview and the observational records. Scores were then divided into categories: high and low empathy. There was a total of 76 possible points on the empathy score. Each child's score was expressed as a percentage of the total possible points. High scores with the age compensation factor ranged from 58 to 83 percent. Low
scores with the age compensation factor ranged from 14 to 57 percent.

The socialization score was derived from the scaling and scoring of the parent questionnaire. There was a possible total score of 40 points in the dimension. These scores, with age compensating factors, ranged from 17 to 68 percent. Children's scores were expressed as percentages of the total possible points.

A correlation coefficient was applied to the empathy and socialization scores. The scores were computed twice, once with the age compensation factor being applied to the empathy scores and similar age compensating factors applied to the socialization scores, and again to the sets of scores with no compensation factors. (See Table 1)

From these results there appears to be a low positive correlation between empathy and socialization. The magnitude of the correlation is considerably enhanced when age is compensated for on both empathy and socialization. Further tests of these results indicated no statistical significance.

Some of the possible reasons for the low correlation of empathy and socialization are listed below:

The physical factors, both human and mechanical, of the interviewing room may have inhibited the children from responding in a more spontaneous manner. The measure itself, the puppet interview,
| Correlation Coefficients Between  
<table>
<thead>
<tr>
<th>Empathy and Socialization Scores</th>
</tr>
</thead>
<tbody>
<tr>
<td>With compensation factor included</td>
</tr>
<tr>
<td>$t$ test of significance = 1.29</td>
</tr>
<tr>
<td>Without compensation factors included</td>
</tr>
<tr>
<td>$t$ test of significance = 1.43</td>
</tr>
</tbody>
</table>

may not have been definitive enough to elicit empathic responses from children at this young age.

The parent questionnaire, the measure for the socialization score, was divided into two sections. This measure was a quantitative one. Perhaps these two sections, physical environment and human relationships are not the significant factors in determining degree of socialization. Perhaps a measure which would report qualitative as well as quantitative factors would yield a more critical measure of socialization experiences.

BACKGROUND VARIABLES AND EMPATHY

Sub-hypotheses were formulated postulating differences in empathy related to the child's age, sex, ordinal position and number of siblings. Frequency distributions and the chi square test were applied to all sub-hypotheses. Both sets of scores, those to which the age compensation factor was applied and those without the factor were analyzed. (See Tables 2 and 3)

Age Differences in Empathy

"There is no relationship between age factors and empathic skills" is the first sub-hypothesis. The frequency distribution on the scores with the age compensation factor showed a trend toward the youngest age group (70 percent) having the highest empathy scores. The scores without the age compensation factor showed the
### TABLE 2

**RELATIONSHIP OF BACKGROUND VARIABLES AND EMPATHY SCORES**

*(With age compensation factor)*

<table>
<thead>
<tr>
<th>BACKGROUND VARIABLES</th>
<th>EMPATHY</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>High (percentages)</td>
</tr>
<tr>
<td><strong>Age</strong></td>
<td></td>
</tr>
<tr>
<td>Oldest</td>
<td>50</td>
</tr>
<tr>
<td>Youngest</td>
<td>70</td>
</tr>
<tr>
<td><strong>Sex</strong></td>
<td></td>
</tr>
<tr>
<td>Male</td>
<td>67</td>
</tr>
<tr>
<td>Female</td>
<td>58</td>
</tr>
<tr>
<td><strong>Ordinal Position</strong></td>
<td></td>
</tr>
<tr>
<td>Oldest (and only)</td>
<td>64</td>
</tr>
<tr>
<td>Youngest</td>
<td>61</td>
</tr>
<tr>
<td>Middle</td>
<td>54</td>
</tr>
<tr>
<td><strong>Number of Siblings</strong></td>
<td></td>
</tr>
<tr>
<td>None</td>
<td>82</td>
</tr>
<tr>
<td>Some</td>
<td>56</td>
</tr>
</tbody>
</table>

* not statistically significant  
**N=52**
### TABLE 3

**RELATIONSHIP OF BACKGROUND VARIABLES AND EMPATHY SCORE**  
*(Without age compensation factor)*

<table>
<thead>
<tr>
<th>BACKGROUND VARIABLES</th>
<th>EMPATHY</th>
<th>X²</th>
<th>df</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>High (Percentages)</td>
<td>Low</td>
<td>Total (N=52)</td>
</tr>
<tr>
<td><strong>Age</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Oldest</td>
<td>68</td>
<td>32</td>
<td>19</td>
</tr>
<tr>
<td>Youngest</td>
<td>64</td>
<td>36</td>
<td>33</td>
</tr>
<tr>
<td><strong>Sex</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Male</td>
<td>70</td>
<td>30</td>
<td>27</td>
</tr>
<tr>
<td>Female</td>
<td>60</td>
<td>40</td>
<td>25</td>
</tr>
<tr>
<td><strong>Ordinal Position</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Oldest (and Only)</td>
<td>67</td>
<td>33</td>
<td>27</td>
</tr>
<tr>
<td>Youngest</td>
<td>54</td>
<td>46</td>
<td>11</td>
</tr>
<tr>
<td>Middle</td>
<td>69</td>
<td>31</td>
<td>13**</td>
</tr>
<tr>
<td><strong>Number of Siblings</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>None</td>
<td>72</td>
<td>28</td>
<td>11</td>
</tr>
<tr>
<td>Some</td>
<td>62</td>
<td>38</td>
<td>40**</td>
</tr>
</tbody>
</table>

* * not statistically significant    **N=51
the same trend (64 percent). The null hypothesis was accepted.

The chi square test on those scores with the age compensation factor showed no significance at the .05 level but did show more of a trend than the scores without the age compensation factor ($X^2 = 1.30$, with 1 degree of freedom; $X^2 = 0.002$, with 1 degree of freedom, without the age compensation factor). The null hypothesis was accepted indicating no significant relationship between age and empathy. A possible explanation for this unusual finding regarding the higher percentage scores among the younger children might be that those children were less inhibited in the testing situation and therefore responded more spontaneously. Another possible explanation might be in the age compensation factor itself. Perhaps the factor overcompensated for age differences.

Sex Differences in Empathy

There is no relationship between the sex of the child and empathic skill. The frequency distribution for the scores with the age compensating factor showed a slight trend toward the males having the highest empathy scores (67 percent). The scores without the age compensation factor also showed the same trend (70 percent). The null hypothesis was accepted.

The chi square test showed no significance at the .05 level on either set of scores. ($X^2 = 0.152$, with 1 degree of freedom for the
scores with the compensation factor; \( X^2 = 0.244 \) with 1 degree of freedom for the scores without the age compensation factor). The null hypothesis was accepted indicating no relationship between sex of the child and empathic skills.

**Ordinal Position and Empathy**

There is no relationship between the ordinal position of the child and empathic skills. The frequency distribution for empathy for each ordinal position showed no trends. The null hypothesis was accepted.

The chi square test was not statistically significant at the .05 level \( (X^2 = 0.317 \) with 2 degrees of freedom for the scores with the age compensation factor and \( X^2 = 0.659 \) with 2 degrees of freedom for the scores without the age compensation factor). The null hypothesis was accepted indicating that ordinal position of the child does not influence empathy as measured in the present study.

**Number of Siblings and Empathy**

There is no relationship between the number of siblings a child has and his empathic skills. The frequency distribution showed that only children tended to score higher on the empathy scale than other ordinal positions. (82 percent with the age compensation factor, 72 percent without the factor.)

The chi square test was not statistically significant but a trend
was evidenced in the percentage scores for only children. Eighty-two percent scored in the high empathy range while only 56 percent of those children with siblings scored in the high empathy range. Although the percentages were not as striking, 72 percent for only children, 62 percent for children with siblings, in the set of scores without the age compensating factor, the trend is the same. \( X^2 = 1.459 \) with 1 degree of freedom for the set of scores with the age compensation factor, and \( X^2 = 0.074 \) with 1 degree of freedom for the set of scores without the age compensation factor. It is this investigator's opinion that these results are due to the small size of the sample. The null hypothesis was accepted indicating no significant relationship between the number of siblings a child has and his empathic skills.

**ANALYSIS OF OTHER SOCIALIZATION VARIABLES**

Trends were noted in the relationship between empathy scores and socialization scores based on travel experiences, housing, family discussions and recreational activities. (See Tables 4 and 5) Frequency distributions and chi square tests were applied to these data. Both sets of scores, those with the age compensation factor and those without the factor were analyzed. When age is compensated for, the highest percentages indicate:

1. The more travel experience the higher the empathy score.
## TABLE 4

RELATIONSHIP OF OTHER SOCIALIZATION VARIABLES TO EMPATHY
(With age compensation factor)

<table>
<thead>
<tr>
<th>Socialization Variables:</th>
<th>High (Percentages)</th>
<th>Low (Percentages)</th>
<th>Empathy Total (N=21)</th>
<th>( \chi^2 )</th>
<th>df</th>
</tr>
</thead>
<tbody>
<tr>
<td>Travel (scored number of experiences)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>0-3</td>
<td>62</td>
<td>38</td>
<td>16</td>
<td>0.033*</td>
<td>1</td>
</tr>
<tr>
<td>4-6</td>
<td>80</td>
<td>20</td>
<td>5</td>
<td></td>
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</tr>
<tr>
<td>Housing (locations and kinds of)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1-3</td>
<td>60</td>
<td>40</td>
<td>15</td>
<td>0.262*</td>
<td>1</td>
</tr>
<tr>
<td>4-6</td>
<td>83</td>
<td>17</td>
<td>6</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Family Discussions (scored frequency)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1-2</td>
<td>64</td>
<td>36</td>
<td>11</td>
<td>0.024*</td>
<td>1</td>
</tr>
<tr>
<td>3-4</td>
<td>70</td>
<td>30</td>
<td>10</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Recreation (child alone)</td>
<td></td>
<td></td>
<td></td>
<td></td>
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</tr>
<tr>
<td>Passive</td>
<td>57</td>
<td>43</td>
<td>14</td>
<td>0.045*</td>
<td>1</td>
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<tr>
<td>Active</td>
<td>100</td>
<td>0</td>
<td>1**</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Recreation (child, family, and/or friends)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Passive</td>
<td>70</td>
<td>30</td>
<td>20</td>
<td>0.131*</td>
<td>1</td>
</tr>
<tr>
<td>Active</td>
<td>0</td>
<td>100</td>
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<td></td>
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</table>

* not statistically significant  **N=15
<table>
<thead>
<tr>
<th>Socialization Variables:</th>
<th>High (Percentages)</th>
<th>Low</th>
<th>Total (N=21)</th>
<th>$X^2$</th>
<th>df</th>
</tr>
</thead>
<tbody>
<tr>
<td>Travel (scored number of experiences)</td>
<td></td>
<td></td>
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<td></td>
<td></td>
</tr>
<tr>
<td>0-3</td>
<td>77</td>
<td>23</td>
<td>9</td>
<td>0.005*</td>
<td>1</td>
</tr>
<tr>
<td>4-6</td>
<td>67</td>
<td>33</td>
<td>12</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Housing (locations and kinds)</td>
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<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1-3</td>
<td>71</td>
<td>29</td>
<td>7</td>
<td>0.262*</td>
<td>1</td>
</tr>
<tr>
<td>4-6</td>
<td>71</td>
<td>29</td>
<td>14</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Family Discussions (scored frequency)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>1-2</td>
<td>73</td>
<td>27</td>
<td>11</td>
<td>0.119*</td>
<td>1</td>
</tr>
<tr>
<td>3-4</td>
<td>70</td>
<td>30</td>
<td>10</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Recreation (child alone)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Passive</td>
<td>100</td>
<td>0</td>
<td>1</td>
<td>0.176*</td>
<td>1</td>
</tr>
<tr>
<td>Active</td>
<td>66</td>
<td>34</td>
<td>15**</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Recreation (child, family and/or friends)</td>
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<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Passive</td>
<td>0</td>
<td>100</td>
<td>1</td>
<td>0.236*</td>
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<tr>
<td>Active</td>
<td>75</td>
<td>25</td>
<td>20</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

* not statistically significant  
** N=16
(X^2 = 0.033 with 1 degree of freedom, not significant).

2. The more locations and kinds of housing a child experiences, the higher the empathy score. (X^2 = 0.262 with 1 degree of freedom, not significant).

3. The greater the frequency of family discussions the higher the empathy score. (X^2 = 0.024 with 1 degree of freedom, not significant).

4. Recreation activities in the family did not appear to be related to empathy.
CHAPTER V

SUMMARY AND CONCLUSIONS

PURPOSE

The purpose of the present study was to investigate whether socialization experiences of preschool children influence the development of empathic skills. "The consensus of dictionaries is that empathy means the intellectual or imaginative apprehension of another's condition or state of mind without actually experiencing that person's feelings." (10:307) The purpose of the present study was to investigate how preschool children would react to a situation testing this phenomenon at their level. This was done by means of a dialogue involving the use of hand puppets. In addition to the comparison of empathy and socialization factors, the influence of other variables was investigated. Age, sex, ordinal position and number siblings were studied as they are related to empathy.

PROCEDURE OF INVESTIGATION

The subjects of the study were fifty-three children between the ages of three years four months and five years four months from the San Fernando Valley State College Preschool Laboratory.

The subjects were tested using a puppet interview as the means of eliciting emotional responses from the children. Observational
records were kept while the child was being interviewed. The combined score on the interview and the observational records formed the child's empathy score. A questionnaire was completed by the child's parents; this was scaled and scored to yield a socialization score.

CONCLUSIONS

The following conclusions were formulated from the data collected in this study.

The hypothesis postulating that the degree of socialization will effect the development of empathic skills in preschool children was rejected. The correlation was low and not statistically significant. The four sub-hypotheses stated in a null form were accepted, indicating no significant relationship between empathy and age, sex, ordinal position or number of siblings. Other socialization variables such as travel, housing, family discussions and recreational also had no significant relationship with empathy scores.

RECOMMENDATIONS

The investigator feels that conducting a similar study using an older group of children and a younger group might possibly yield more significant data. For example, using a group of three-year olds and a group of six-year olds.

More conducive physical surroundings for the interviewing
procedures would tend to lessen the inhibitions of children in responding to the questions in the dialogue. If facilities were available for the observers to be unseen, another rating instrument might be used, such as video-taping each interview. Gestures and facial expressions might be observed and recorded.

The parent questionnaire might be revised to give more direct information without the possibility of parent interpretation. Such an instrument might be a structured socialization check list on a five-point scale.

The study might be replicated using the same age group, the same measurements but varying the sample according to economic and racial background, (varying the sample factors). The study might be replicated using the same sample but varying one or both of the measures, empathy or socialization. For example, using the length of preschool experience each child has had. The study might be replicated using the same sample, the same measures but changing the variables; same sex, different ages, same age, different economic backgrounds. The possible combinations in each area are infinite and may better qualify relationships between specific socialization experiences and the development of empathy.
BIBLIOGRAPHY


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APPENDIX A

SCRIPT FOR PUPPET INTERVIEW
THE BIRTHDAY PARTY THIEF

General directions: Observer will record answers to questions on separate page. Tester will bring child to room. As she walks child from classroom to testing room she asks him his name, how old he is, if he has any brothers and sisters, and if he has any pets. Answers to these questions are also available in the child’s nursery school file. The purpose is to put the child somewhat at ease without getting any pertinent information before it can be recorded on tape or by an observer.

Tester: Name of child would you like to sit down here?

(Indicates chair. Puppets, boy and girl, are on the table). I’m going to sit here because I want us to tell a story (take other chair). Do you like to tell stories? Today the story is about a birthday party. It’s going to be fun. These puppets are going to help us tell the story. Do you know how to use hand puppets?

This one is Jackie and this one is Janie. Which one would you like to be today? For this story I’m going to be the Mommy puppet and I’m also going to be the Daddy puppet. (Put on both puppets)

Narrator: This is a story about _______________ and his/her birthday party. Once there was a Mommy and a Daddy and a little boy/girl by the name of _______________. It was almost
time for _____________'s birthday.

Mommy: Daddy, do you think we should have a big, big fun birthday party for _____________?

Daddy: Why, Mommy, of course we should. Birthday parties are happy times. Besides, _____________ has been a very good boy/girl and he/she deserves a real big special party.

Mommy: What kind of a birthday party should we have _____________? Why do you feel that way?

Daddy: I think that's a very good idea. We'll have a big beautiful cake with lots and lots of icing, lots and lots of ice cream, and candy, and soda, and lots and lots of children and lots and lots of presents. We'll have to plan this party so that everything is just right.

Mommy: I'm so excited. I just love birthday parties. They're so much fun and such happy times. I'll start right now making the big cake and ordering the ice cream and the candy and the cookies and all the other good things. What do you think we should do at the birthday party, _____________?

Narrator: While the Mommy and the Daddy and _____________ were busy planning the birthday party, and inviting all the children and fixing the food, and buying the presents, and cleaning the house and washing the dog and ironing the clothes, and buying the groceries
and fixing the breakfast and all those other things that Mommies and Daddy do for special Happy Birthday parties, there was a birthday party thief in the neighborhood.

Mommmy: I have been baking and shopping and cooking and cleaning and washing and ironing all day long. Birthday parties are so much work but they are so much fun. What have you been doing for the birthday party, ___________?

Daddy: Well, I have been doing some interesting things myself today. I spoke to the candy man and he has the best candy in the whole world for our party. And then I saw the ice cream man and he has the creamiest vanilla ice cream and the most chocolaty chocolate ice cream ever for our party, and then I saw the cooky man. You wouldn't believe the kinds of delicious cookies he has for us. Have you been talking to any of the children about the party, ___________?

What have they been saying? Then I went to see the toy man. Do you know what he told me?

Mommmy: I bet he has the most beautiful dolls and the biggest trucks and the fastest cars and the prettiest books and balls, and bats, and boxes, and blocks, and firetrucks and doll carriages and toy bears and toy dogs and swings and slides and I'll bet lots more.

Daddy: He does have the most beautiful toys in the whole world. But do you know what else he told me?
Mommy: Oh, dear, what else did he tell you?

Daddy: He told me we should be very careful at our party. We should be especially careful to watch all of our presents, and our toys and our ice cream and our cake and our candy because there is a birthday party thief in the neighborhood that just loves to steal little children's birthday parties.

Mommy: Oh, dear, oh, dear, oh, dear. A birthday party thief! Why I've never heard of such a person. Oh, dear, oh, dear, oh, dear. What can we do? How do you feel about this, ____________ ? Why do you feel that way?

Daddy: Maybe if we invite him to the birthday party he won't steal it.

Mommy: I don't want to invite him to our party. He might steal it and our big cake, our lovely cookies, our delicious ice cream, our chewy candy and all of our toys and then there would be nothing left for us.

Daddy: __________________, do you think we should invite the birthday party thief to our party?

Mommy: What do you think would make the birthday party thief happy? What do you think you could do to make the birthday party thief happy?

Daddy: How would you feel if you were not invited to a birthday
Mommy: How do you feel when you are invited to a birthday party?

Narrator: Thank you very much, Name of the child, for helping me tell this story. How do you think Jackie/Janie feels about the birthday party thief? How do you, Name of the child, feel about the birthday party thief? Did you have a good time? I think it's time for you to go back with the other children now.
APPENDIX B

PUPPETS
APPENDIX C

PRELIMINARY OBSERVATIONAL RECORD

FOR PUPPET INTERVIEW
PRELIMINARY OBSERVATIONAL RECORD

As soon as child enters the room, begin these observations.

More than one category may be checked in each question.

1. How did child enter the room?
   - a. holding the tester's hand
   - b. touching tester's body or clothing
   - c. side by side
   - d. behind tester
   - e. in front of tester
   - f. other

2. How would you class his attitude?
   - a. alert - comes in independently, surveys room quickly but thoroughly, asks for further directions
   - b. nervous - comes in perhaps holding on to tester, eyes dart around room, taking in much but seeing little, looks to tester frequently for further directions
   - c. curious - comes in perhaps holding tester's hand or clothing, looks around room quickly but thoroughly and waits for further direction
   - d. calm - comes in independently, looks around and looks to tester for further directions
3. Which puppet was selected?
   - a. male
   - b. female

4. How long did selection take?
   - a. in seconds

5. Was puppet manipulated?
   - a. with ease, explain
   - b. with difficulty, explain
APPENDIX D

OBSERVATIONAL RECORD

DURING PUPPET INTERVIEW
DESCRIPTION OF TERMS USED IN OBSERVATIONAL RECORD

A. Attentive to dialogue

5 = attentive, total attention is directed to puppet play. Child is following and responding as requested.

4 = attentive to interested.

3 = interested, attention is to puppet play but attention shifts from puppet play action to different parts of the room, to observer, etc.

2 = interested to distracted.

1 = distracted, child is looking around the room, pays no attention to puppet play, little or no attention to puppet.

B. Preoccupied with puppet

5 = total preoccupation, child is concerned only with puppet. All activity related to puppet.

4 = partial preoccupation, child is telling story only to his puppet.

3 = puppet is being used as connecting link between child and story. Child is using puppet to tell story.

2 = partial disregard, child holding puppet, not on.

1 = total disregard, child refused to put puppet on.

C. Restlessness

Sustained physical movement, for any length of time, for all or
part of the body. For example, feet shuffling, body movement on chair, climbing up on the table, feet swinging, finger tapping, and so on.

D. Manipulating puppet

As it is appropriate for the story. When dialogue is happy, puppet might be "dancing" around, if puppet is speaking to another puppet, the hands and arms are moving in the direction, if no action is called for, puppet is still.

E. Vocal quality

1 = regular voice
2 = puppet voice

In the next few questions, the emphasis is on the child's interaction with the puppet.

F. Curiosity

Did he manipulate puppet so that he could see it better?

G. Love

Did he caress, "pet" puppet once it was on his hand, or touch it lovingly?

H. Conversation

Did he speak to puppet or with it, was there any voice change indicating puppet was speaking to him?

I. Abuse
Did he strike puppet or did puppet hit something once it was on child's hand?
## OBSERVATIONAL RECORD DURING INTERVIEW

Check one appropriate category in each section.

<table>
<thead>
<tr>
<th>Activity</th>
<th>Minutes</th>
</tr>
</thead>
<tbody>
<tr>
<td>A. Attentive to dialogue</td>
<td>1 2 3 4</td>
</tr>
<tr>
<td>5 = total attention</td>
<td>5</td>
</tr>
<tr>
<td>3 = interested</td>
<td>3</td>
</tr>
<tr>
<td>1 = distracted</td>
<td>1</td>
</tr>
<tr>
<td>B. Preoccupied with puppet</td>
<td>1 2 3 4</td>
</tr>
<tr>
<td>5 = total preoccupation</td>
<td>5</td>
</tr>
<tr>
<td>3 = puppet connecting link</td>
<td>3</td>
</tr>
<tr>
<td>1 = total disregard</td>
<td>1</td>
</tr>
<tr>
<td>C. Restlessness</td>
<td></td>
</tr>
<tr>
<td>D. Manipulation of puppet</td>
<td></td>
</tr>
<tr>
<td>E. Vocal quality</td>
<td></td>
</tr>
<tr>
<td>1 = regular voice</td>
<td></td>
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<tr>
<td>2 = puppet voice</td>
<td></td>
</tr>
<tr>
<td>Activity</td>
<td>Minutes</td>
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<tr>
<td>---------------------------</td>
<td>---------</td>
</tr>
<tr>
<td>Puppet-Child Interaction:</td>
<td></td>
</tr>
<tr>
<td>F. Curiosity</td>
<td></td>
</tr>
<tr>
<td>G. Love</td>
<td></td>
</tr>
<tr>
<td>H. Conversation</td>
<td></td>
</tr>
<tr>
<td>I. Abuse</td>
<td></td>
</tr>
</tbody>
</table>
APPENDIX E

TAPED DIALOGUE RECORD FORM

FOR PUPPET INTERVIEW
DIALOGUE RECORD, VERBATIM

1. Do you like to tell stories?

2. Do you know how to use a hand puppet?

3. What kind of birthday party should we have, ____________?

3a. Why do you feel that way?

4. What do you think we should do at the birthday party, __________?

5. What have you been doing for the birthday party, ____________?

6. How do you feel about this, _________________?
6a. Why do you feel that way?

7. _______________, do you think we should invite the birthday party thief to our party?

7a. Why, or why not?

8. What do you think would make the birthday party thief happy?

8a. What do you think you could do to make the birthday party thief happy?

9. How would you feel if you were not invited to a birthday party?
10. How do you feel when you are invited to a birthday party?

11. How do you think ________________ feels about the birthday party thief?

12. How do you feel about the birthday party thief?

13. Did you have a good time?
APPENDIX F

PROCEDURES FOR SCORING EMPATHY
Empathy score, Part A

Observational.

The observational record during interview and the preliminary observational record were combined to form Part A of the Empathy Score.

1. Attentiveness to dialogue (A on Observational record)
   a. average score
      1 = distraction
      3 = interest
      5 = total attention
   b. sum of minute scores divided by number of minutes of interview yielded the score on item.
   c. total possible number of points is 5.
   d. note: This is an average score based on number of minutes of interview of attentiveness. It is assumed that total attention means a total involvement with the dialogue.

2. Preoccupation with puppet (B on Observational record)
   a. average score
      1 = total disregard
      3 = puppet connecting link
5 = total preoccupation with puppet

b. sum of minute scores divided by number of minutes of interview yielded the score on item.

c. total possible score is 5.

d. note: This is an average score based on number minutes of interview of preoccupation with puppet. It is assumed this preoccupation with puppet means the child is reacting "as-if" he were the puppet.

3. Manipulative skills (combines D and E on Observation)

a. average score

0 = no voice and no manipulation

1 = own voice and no manipulation

2 = no voice and puppet manipulation

3 = own voice and puppet manipulation

4 = puppet voice and puppet manipulation

b. sum of minute scores divided by number of minutes of interview yielded the score on item.

c. total possible score is 4.

d. note: The minute average score was obtained by playing the taped interviews again and rating the responses made verbally by the child (as recorded in E) at the same time the child was manipulating the puppet
(as recorded in D). The rating was based on a scale of 0 - 4, the highest number of points being given for puppet voice qualities coinciding with puppet manipulations.

4. Interaction with puppet (F, G, H, I on Observation)
   a. each action is worth one point.
   b. score divided by number of minutes of interview multiplied by six.
   c. total possible points is 24.
   d. note: Each time a child exhibits one of these interactions, he receives one point. In order to weight the question equally with the others, it was decided to obtain the score and multiply it by the average number of minutes of interview, six.

5. Classification of attitude (combine items 1, 2, 3 of preliminary observational record)
   a. each independent action is given two points, each dependent action is given one point.
   b. score is the number of points. If more than one action is checked, the majority (independent) action will be assumed to be significant.
   c. total possible points is 6.
   d. note: Each category is rated to be an independent or
dependent action. It is assumed that the more independent the more confident, therefore more ability to be empathic.
Empathy score, Part B

Verbatim Dialogue

Numbers in ( ) indicate the question number on the dialogue record.

1. (3) What kind of birthday party should we have?
   0 = no response.
   1 = type or activity response, eg: circus, swimming, etc.
   2 = emotional response, eg: happy, gay, etc.

Note: This is a key question, indicative of empathic potential.

Note 2: The following questions were scored on a three point scale, one point for a shrug or 'don't know' response to three points for a response made in complete sentence form or phrases. If a child shrugs or says 'I don't know' he is reacting to the action. The points represent degree of reaction. This is limited to ability to verbalize, therefore the equalizing factor is applied to Part B.

2. (3a) Why do you feel that way?

3. (6) How do you feel about this?

4. (6a) Why do you feel that way?

5. (7a) Why or why not?
6. (8) What do you think would make the birthday party thief happy?

7. (8a) What do you think you could do to make him happy?

8. (9) How would you feel if you were not invited to a birthday party?

9. (10) How do you feel when you are invited to a birthday party?

10. (11) How do you think Jackie/Janie feels about the birthday party thief?

11. (12) How do you feel about the birthday party thief, Name of the child being interviewed?
APPENDIX G

AGE COMPENSATION FACTOR

FOR EMPATHY SCORE
AGE COMPENSATION FACTOR FOR EMPATHY SCORE

The purpose was to balance out a child's ability to express himself, emotionally or empathically. In order to assure fairness and not penalize a child because of his age, and his verbal ability, it was necessary to devise some factor which would take this into consideration. Therefore, the following formula was devised.

1. \[
\frac{\text{total score}}{\text{oldest age (in months)}} = \text{points per month (ppm)}
\]
   in sample

2. \[
\text{ppm/difference in months (between oldest child in sample and each child tested (md))}
\]

3. \[
\text{ppm/md} = \text{adjustment (compensation)}
\]

4. \[
\text{adjustment plus raw score} = \text{compensation score}
\]

For example:

1. Highest possible score on Part B is 32.
2. Oldest age in sample is 64 months.
3. Points per month (ppm) equals .5
4. Child A is 47 months old, \(.5 \times 17 = 8.5\).
5. Child A's raw score is 10, \(10 + 8.5 = 18.5\).
6. 18.5 is child A's adjusted or compensated score.
APPENDIX H

COVER LETTER TO PARENTS

AND PARENT QUESTIONNAIRE
Dear Parent:

Enclosed you will find a questionnaire similar to the one completed by you when your child entered the San Fernando Valley State College Pre School Laboratory. This present questionnaire will become part of the research being done by me on the development of empathic skill in preschool children. The material in these questionnaires will be treated confidentially. This study is being done as a partial fulfillment for a Masters degree at San Fernando Valley State College.

Will you please complete this questionnaire as completely as you feel possible and return it to me at the Pre School Laboratory.

Thank you for your cooperation.

Bonnie M. Hazen  
Graduate Student

Dr. Malathi Sandhu  
Faculty Advisor
PARENT QUESTIONNAIRE

1. Child's name

LAST INITIAL FIRST NAME

NAME USUALLY CALLED

2. Date of birth

Month Day Year Sex

3. In how many places has this child lived since his birth?

<table>
<thead>
<tr>
<th>Where (Cities, states)</th>
<th>How long</th>
<th>Apt. or house</th>
</tr>
</thead>
<tbody>
<tr>
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</table>

If more space is needed, please continue on the back.

4. Has this child traveled or visited relatives?

<table>
<thead>
<tr>
<th>City</th>
<th>State</th>
<th>National</th>
<th>International</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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</tbody>
</table>

With whom

How long

Date

5. Has mother worked during this child's lifetime?

<table>
<thead>
<tr>
<th>age of child</th>
<th>time of day</th>
<th>what days, Mon, Tues</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
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</tbody>
</table>

Full time

Part time
6. Do you as a family hold formal or informal discussion on any of the following subjects?

Factual matters (newspapers, articles, television, magazines, books, etc.)

never____seldom____occasionally____frequently____daily____

Emotional expression (feelings, human relationships, interactions)

never____seldom____occasionally____frequently____daily____

Decision making (vacations, big purchases, etc.)

never____seldom____occasionally____frequently____daily____

Family ties and history (relatives living outside the immediate area)

never____seldom____occasionally____frequently____daily____

7. Do you feel as a parent that feelings are able to be freely expressed by all family members?

8. What kinds of recreational activities has this child experienced? For example, camping, resort vacations, bicycle riding, ocean or lake fishing, etc.

Activity

Child alone

Friends

Family
9. If this child was confined to his room or bed during any illness of more than one day.

a. How did he amuse himself:

<table>
<thead>
<tr>
<th>Illness</th>
<th>measles</th>
<th>chicken pox</th>
<th>flu</th>
<th>cold</th>
<th>other:</th>
<th>other:</th>
<th>other:</th>
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<tbody>
<tr>
<td>books</td>
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</tr>
<tr>
<td>puzzles</td>
<td></td>
<td></td>
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<td></td>
<td></td>
</tr>
<tr>
<td>toys, dolls, cars, etc.</td>
<td></td>
<td></td>
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<td></td>
</tr>
<tr>
<td>crayons</td>
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</tbody>
</table>

b. Length of confinement (days/weeks)

c. Was he able to amuse himself most of the time? (yes/no)

d. Was he bored and/or restless? (b/r)
10. What specific person(s) has made a lasting impression on this child? For example, teacher because she helped him at school, baseball player because he was seen repeatedly on television, policeman because he wears a uniform. Explain briefly.

1.

2.

3.

4.

5.

11. What is the national background of the family? E.g. Ancestry: Germany, England, France, German-English, etc. Generation: native-born, first generation, second generation, etc.

<table>
<thead>
<tr>
<th>Ancestry</th>
<th>Generation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Mother</td>
<td></td>
</tr>
<tr>
<td>Father</td>
<td></td>
</tr>
<tr>
<td>Others in home</td>
<td></td>
</tr>
</tbody>
</table>
12. What kinds of special events does this child and or family observe?

How is it observed?

National
(July 4th, Memorial Day)

Religious
(Christmas, Hanukkah)

Family
(birthdays, anniversaries)

13. How has this child celebrated birthdays?

one

two

three

four

five
APPENDIX I

SCORING FOR SOCIALIZATION
SOCIALIZATION SCORE

Socialization score is based on the results of the scaling and scoring of the parent questionnaire. Refer to Appendix H for entire questionnaire. The numbers in ( ) refer to the number of the questionnaire.

1. (3) Housing accommodations
   a. number of locations
   b. locations
      apartment = 1 point
      house = 2 points
      apartment and house = 3 points
   c. total possible points is 6
   d. note: It is assumed that the more places a child has lived the more socialization factors he is subjected to.

The same assumption is true for the kinds of living units.

2. (4) Travel
   a. number of locations
      city only = 1 point
      city, state = 2 points
      city, state, national or international = 3 points
   b. duration
3. (1) E xposure time to social opportunities
   a. 1 - 6 days = 1 point
   b. 1 - 4 weeks = 2 points
   c. 1 - or more months = 3 points
   d. Total possible points is 6

   Note: It is assumed that the more places a child visits the more opportunities he has for socialization; the longer he stays the more opportunities he has for meeting more people and knowing them better.

3. (5) Mother worked during lifetime of child
   a. Full time = 1 point
   b. Part time AM = 2 points
   c. Part time PM = 3 points
   d. No work = 4 points
   e. Total possible points is 4
   f. Note: It is assumed that a child will receive more socialization from a non-working mother. This may or may not be true but there is no information on the questionnaire to determine otherwise.

4. (6) Family discussions
   a. Scale is 0-4
   b. Total points divided by 5 gives total score
   c. Total possible points is 4
5. (8) Recreational activities
   a. child alone
      passive play = 1 point
      active play = 2 points
   b. friends and family
      passive play = 1 point
      active play = 2 points
   c. total possible points is 4
   d. note: Answers were judged passive and active.
      Passive play constitutes any play on a second person level, example: watching T.V., reading a book,
      vicarious play. Active play constitutes play on a first person level, with or without the company of another
      person(s).

6. (10) Significant people, male
   0-1 = 1 point
   2-3 = 2 points
   4-5 = 3 points

7. (10) Significant people, female
   0-1 = 1 point
   2-3 = 2 points
   4-5 = 3 points
note: For questions 6 and 7 it is necessary to know what sex and how many people are considered significant to this child.

8. (12 and 13) Special events
   a. national, religious or family only = 1 point
   b. any combination of these = 2 points
   c. all three choices = 3 points
   d. celebration of third birthday
      1. immediate family only = 1 point
      2. extended family and friends = 2 points
      3. party with own friends = 3 points
   e. total possible points is 6
   f. note: Exposure to special events is assumed to extend a child's range of experiences and thus expand his socialization. The larger the circle of people around the child for any event or daily life the more opportunities for socialization.

Note on socialization scale equalizing factors:

Items 1, 2, 6, 7 will be weighed according to age factors.

1. if a child is three, the answers are scored as is.
2. if the child is four, the score is divided by 2.
3. if the child is five, the score is divided by 3.