EMPATHY AND SYMPATHY IN APPLIED THEATRE: A QUALITATIVE STUDY

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By

Karen Dainty BA(Hons), MA, PGCE

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Abstract

As an academic working in the field of applied theatre with undergraduate students, I became increasingly interested in how their skills, techniques, knowledge and understanding are developed to work in applied theatre settings, particularly those that were unfamiliar to them. I was particularly interested in investigating how important, if at all, are the concepts of empathy and sympathy in the preparation of students to work in applied theatre settings and with different client groups. Research of relevant literature revealed pedagogical parallels with social work, particularly in relation to the client-facilitator relationship. There appeared to be synergy between the work undertaken in applied theatre settings and in social work. The interdisciplinary nature of this research contributes to new professional knowledge and practice. A qualitative case study was undertaken, adopting a constructivist and interpretative approach, to understand the way meanings of empathy and sympathy were constructed and interpreted by the students when working in applied theatre settings. The research took place as part of normal professional practice and consisted of a questionnaire (n=14), two semi-structured interviews (n=4) and a focus group (n=4) with third year students studying a BA(Hons) Drama in the Community degree at a small UK Higher Education Institute (HEI). The findings indicated that the participants found it difficult to define, or describe, the concepts of empathy and sympathy with any clarity. They also found it difficult to distinguish between the concepts. However, there was a consensus of opinion that the ability to distinguish between them was important because of the client-facilitator relationship when working in applied theatre settings. The data highlighted that the concepts had only been taught or considered on the programme of study in an implicit way. From this, I concluded that teaching the students the concepts in a more explicit way would help develop their knowledge and understanding of those concepts, thus enabling them to become more informed applied theatre graduates.

Keywords: empathy, sympathy, applied theatre, social work, undergraduate student, pedagogical techniques, client-facilitator relationship, choice of drama techniques

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Preface

As part of normal professional practice at a small UK HEI in 2010, I was engaged in a discussion with first year students on the BA(Hons) Drama in the Community single honours degree, whilst studying the Theatre in Education module, about what drama techniques to include in a workshop. The Theatre in Education module comprised a short-scripted performance and workshop to explore the themes and issues presented in the performance. The performances were based on one of the following issues: cyber-bullying, homophobia, young carers, addiction and body image. The students were planning the workshop element to ensure that it was suitable for a Year Seven group in a local secondary school. One of the students suggested they ought to use Boal's 'Stop Start' technique. Intrigued, I asked the student to expand and as she began her explanation I realised she was referring to Boal's (1979) 'Forum Theatre' technique outlined on page 27. The complexities of the technique appeared to be lost on the student, particularly in relation to reducing it to that of 'Stop Start', and I found this concerning. This prompted a recollection of a Forum Theatre session I had been engaged in whilst undertaking my own studies at Bretton Hall (University of Leeds). The session had been led by Tim Wheeler, Artistic Director of Mind the Gap Theatre Company and a proponent of Boal's Theatre of the Oppressed. I remember that Tim was emphatic that Forum Theatre required a sympathetic approach and not an empathetic one. Sympathy, in that the issue or theme under investigation had been experienced by the participant, not one that required the participant to imagine the experience. We did not discuss a definition of the concepts as there was an assumption that I understood the difference between the concepts. He stressed how important it was to develop Forum Theatre from a sympathetic stance because it related to people's real lives, where solutions and rehearsal for life (Boal, 2006; 1992), could happen. This was because the issue related directly to the spect-actors (Boal, 1992) and they were not imagining what the situation might be. Yet, here I was faced by a student who had reduced the technique down to that of 'Stop Start'. The importance of the client group being able to sympathise with the issue when utilising Forum Theatre had not been considered, nor what the implications might be if you just empathised and imagined the situation.

It was at this juncture that I realised in my own professional practice I had never explicitly referred to either empathy or sympathy in relation to the different drama techniques available to students or when working with different client groups. I had not considered a definition for the terms, other than a metaphor for empathy, that of 'placing myself in the shoes of another', when undertaking and participating in acting and drama activities.   Similarly, I recognised that empathy was only considered in an implicit manner on the BA(Hons) programme of study due to some of the drama techniques that the students had been exposed to, namely Stanislavski's Empathetic Theatre (page 24) and process drama techniques (page 21). In regard to sympathy, this had not been referred to on the programme of study when outlining the work of Boal and his Theatre of the Oppressed techniques such as Forum Theatre (1992).

Therefore, I began to acknowledge that lecturers adopt different positions in their own professional practice, based upon their own experiences, and emphasis placed on each because of their own belief system. I began to recognise that my teaching practice had been informed by these experiences and particularly in relation to my education and work as an applied theatre practitioner. Brookfield (1998) suggested that what a lecturer teaches will be influenced by their own autobiographies as learners. Consequently, I began to reflect upon my own autobiography and ontological position regarding the education, training, knowledge and experience within the education sector and applied theatre that I had and my own understanding of the concepts of empathy and sympathy.

Professional practice

I returned to full-time education as a mature-aged student, after a nine-year career in Human Resource Management in the Private and Public sector, to study a BA Theatre Theory and Practice degree whilst living in NSW, Australia. At the same time, I also completed professional actor training at the Australian Playhouse Studio, the National Institute of Dramatic Art (Australia) and the Australian Academy of Acting. After completing the first year I transferred to Bretton Hall (University of Leeds) UK, to study a BA(Hons) Acting –Devised Performance. I chose to study a programme that focused on drama and theatre as an intervention with different client groups to address social

injustices of the vulnerable, disadvantaged and infirm. I think the social class within which I was brought up and the role of women during the seventies and eighties has played a significant part in my outlook on life and the decisions that I have made regarding my career and academic pursuits. I grew up feeling like a second-class citizen because I was a female, and acutely aware of the inequalities between men and women in respect of education and career opportunities. As a result, I felt disadvantaged. As such, I wanted to focus on theatre work that helped to address social injustice and inequalities, and theatre as an intervention to help develop and empower participants. Furthermore, theatre that is used for non-traditional purposes, in non-conventional contexts, that is transformative (O'Toole, 2004) and requires social engagement. Socially engaged theatre is a complex field that demands a lot from its practitioners and academics where an understanding of aesthetics, ethics, group dynamics, social and political contexts, funding structures, educational and political theory, therapeutic approaches and a broad range of theatre and performance skills are required (Low and Mayo, 2013). Upon graduating I worked as a freelance drama worker, a director, writer, actor, devisor, and workshop facilitator and as a theatre maker specialist amongst non-trained participants (Hepplewhite, 2013). I also worked in a variety of applied theatre settings with different companies including Doncaster Carer's Association, AgeUK, The Foyer-Doncaster, 'darts' Doncaster Community Arts, Doncaster Council, Doncaster Youth Service, Playbox Theatre Company, One-in-Four Theatre group and QDos Dance Theatre. I had been employed as an Education Manager at Hull Truck Theatre and involved in a diverse range of educational drama and applied theatre projects with organisations such as, AgeUK, Hull City Council, Hull Road Safety, 'Tumari Charl' diversity project, Full Body and the Voice, Wilberforce Commemoration Partnership Project, Digital Learning Theatre in Education Project, Arts Based Learning and Schools Theatre in Education Tour. I drew upon my own experiences and up-bringing to develop my own style of working to gain rapport with the groups that I worked with. I developed a reflective practice approach to my professional work to reflect upon the social, personal and environmental factors at play in and around the work that I was undertaking.

In my role at the HEI, where the research was undertaken, I taught a range of modules across the three years of the single honours degree programme, as outlined in Table 1-1 (page 12), which were structured around the demands outlined to help prepare the student to work in applied theatre settings. I was in this role for seven years. During this time, I encountered different terminologies and practices associated with empathy and sympathy from the students that I taught. This was particularly evident in the Performance Project module, where students undertook a ten-week project with a client group of their own choosing with support from the lecturer. A large proportion of students proposed client groups that reflected a specific theme or issue that resonated with them. Students that had a personal experience of the issue, such as, mental health, an eating disorder, and as a member of the Lesbian, Gay, Bisexual and Transgender (LGBT) community. For example, one student requested working with her therapy group and to have her counsellor present in her tutorials. The request for her counsellor being present was declined. With the appropriate ethical framework and safeguards in place, however, the student did work with the therapy group and responded to their needs rather than that of her own. Another student wanted to work with a mental health group because this was something that she and her family had experienced. This was agreed with the appropriate safeguards put in place. Alternatively, there were students who had relatives that had experienced the issue, such as a grandparent with dementia, a parent suffering with cancer, and a brother with Special Educational Needs (SEND), which informed the group the student worked with. For example, one student worked with a SEND group and another with a senior citizen group with dementia. Conversely, there were students who chose to work with groups that they had no experience of, such as one who worked with primary school children who had English as a Second Language.

As I reflected upon the type of client groups the students requested to work with, and the research that I had started to undertake into defining the concepts of empathy and sympathy, I began to consider whether the concepts were being utilised to inform their decisions at an implicit level. I wanted to investigate this further in terms of what importance, if any, do the concepts of empathy and sympathy have when preparing students to work in applied theatre settings and this led to the formulation of the first

research question (page 11). Furthermore, could the concepts be learned and practiced, and if so, what pedagogical techniques are effective? And this became research question two (page 11).

It is acknowledged that the research is influenced by my experience as a practitioner and academic and that I write this from several inter-related perspectives, namely that of a lecturer within a HEI, a trained actor, director, writer and workshop facilitator and a trained HR professional. As such, I determined that adopting a position of practitioner-researcher was an appropriate one and this is outlined in more detail in the Methodology chapter (page 71).

Why now?

After working as an academic at the HEI for five years I acknowledged that for my personal and professional development I wanted to undertake doctoral study. I decided upon a Doctorate of Education (EdD) because a distinctive feature is that it connects theory and practice (Taysum, 2006) by focusing on an aspect of my own work and researching it. It can be both research-based and research-driven to help improve the learners' professional practice (Lunt, 2002) and provide opportunities to produce and transform original knowledge that is critical and reflective (Taysum, 2007). Furthermore, it provided an opportunity to deeply question my role, the knowledge and skill used, and my own professional practice. As outlined above, I began reflecting upon my own understanding and interpretation of the concepts of empathy and sympathy. I recognised that the concepts had never explicitly been discussed or defined or described in relation to working in applied theatre settings or as part of the education I undertook. At a common-sense level, I appreciate that there is a difference between empathy and sympathy only not considered as part of my own training and, as such, not introduced into my own professional practice. I realised that I needed to consider and formulate my own definitions of empathy and sympathy at the start of the research and the different ways in which these concepts have been defined and employed within the literature (page 15). I developed an operational definition for the concepts (page 46) which was utilised in the research design, data analysis and findings and discussion Upon reflection I began to acknowledge that the choice of

projects that I had undertaken, and activities that I employed in my own professional practice were located within empathy and sympathy. The sensitive nature of some of the projects that I had been involved in, like working with homeless ex-drug users at The Doncaster Foyer; One-in-Four Theatre Group, a mental health group, and Doncaster Rape and Sexual Abuse Centre, might have been less challenging if I had been able to consider the work through the lens of empathy or sympathy. Understanding the difference between the two, in terms of the significance they have on the different drama techniques available, the choice of activities to use, and in the development of the client-facilitator relationship, would upon reflection have been helpful.

Therefore, the conversation in 2010 with the student, the critical reflection of the students' choice of placement and my own limited ability to provide a definition for the concepts, were critical incidents in respect of developing the research because I wanted to examine these areas further. It revealed that there had been a gap in my own knowledge and teaching and learning pedagogy. I had been making assumptions that a student would have an understanding of empathy and sympathy and naturally apply it to developing the client-facilitator relationship because it is part of human interaction. Webster (2012) proposes that empathy is part of a complex set of social behaviours that has roots in human relationships. Whilst I initially did not consider the concepts of empathy and sympathy as being fundamental to applied theatre practice, this a position that changed as the research developed. The students were involved in real-life situations with real consequences both for the client group and student if inappropriate drama techniques were utilised and a poor relationship developed with the clients. However, upon completion of the research I would have evidence regarding the concepts of empathy and sympathy rather than just working with assumptions with students. This would help to improve the knowledge of the students and my own practice. Furthermore, an understanding of empathy and sympathy drama techniques that is available to them, and how to utilise them in the development of the client-facilitator relationship, could be considered. The intention being that by the end of the three-year programme of study the student would be a more informed applied theatre graduate because of their understanding of empathy

and sympathy and that by having such an understanding, the students' professional behaviours would be developed, which could affect their social relationships and particularly the client-facilitator relationship in different applied theatre settings.

Chapter 1.   Introduction

Whilst working as an academic in the field of applied theatre with undergraduate students, I became increasingly interested in how their skills, techniques, knowledge and understanding are developed to work in applied theatre settings - particularly those that are unfamiliar. For the purposes of this work, student will be utilised to denote an undergraduate student. I was particularly interested in investigating how important, if at all, are the concepts of empathy and sympathy in the preparation of students to work in applied theatre settings. Furthermore, whilst it is not a fundamental requirement to be conversant with the concepts of empathy and sympathy to work in applied theatre settings, I wanted to establish whether the student was able to distinguish between their own experience of the concepts when working in applied theatre settings. Applied theatre in this context is where applications of theatre make use of a range of participatory practices in educational, social and community contexts, to achieve a specific objective in terms of change, learning or development (Shaughnessy, 2012) and often happens outside of conventional theatre spaces (Preston, 2016). A detailed discussion of the definitions of applied theatre is considered in the literature review. The work undertaken is often of a sensitive nature; takes place in a diverse range of applied theatre settings, and requires the student to develop good working relationships with a range of client groups. McCammon (2007) suggested that the participants in applied theatre projects tend to be those on the cultural margins, for example, women, disabled people, prisoners, refugees, and survivors of war and abuse. Subsequently, consideration was given to whether the concepts of empathy and sympathy might be taught and, if so, could a pedagogical model be developed to help assist students in their exploration of the concepts and development of their own knowledge, understanding and interpretation.

In principle, the student is being developed to take on the role of a 'social agent' (Kuftinec, 2001:46) - someone who focuses on providing social awareness and is responsive to social issues and change (Dalyrmple, 2006; McCammon, 2007; Chinyowa, 2011), and working as a facilitator who is a multidisciplinarian (Prendergast and Saxton, 2009), with a range of clients that have differing needs. It is a

multidisciplinary role because knowledge of theatre and how it works is required with an understanding of teaching and learning pedagogies (Prendergast and Saxton, 2009). Furthermore, the student is required to develop the client-facilitator relationship. Within the literature pertaining to social work, the phrase client-worker is utilised (Gerdes and Segal, 2009, 2011; Gerdes, 2011). However, for the purposes of my own work I adopted client-facilitator, as this reflected more accurately the type of relationship students adopt in applied theatre settings and is a term used in applied theatre literature (Prendergast and Saxton, 2009; Balfour et al., 2015) and on the programme of study. The facilitator works in conjunction with the client to create and explore dramatic meaning (Balfour et al., 2015) that is familiar with the social structures and community contexts in which s/he is working (Prendergast and Saxton, 2009), in an ethical manner that is outlined in more detail in the Ethical Considerations section page 84. According to Hughes et al., (2006) the facilitator shares in the teaching and learning process instead of being the sole resource and in applied theatre settings the student, as a facilitator, works alongside the client. Applied theatre work demands facilitators to be involved in conventions and behaviours of the spaces and communities the work is being undertaken in (Thompson and Schechner, 2004). For example, the student who requested working with a mental health group researched thoroughly issues relating to mental health before undertaking the project.

Empathy and sympathy are both concepts that concern the self and other people. Sympathy in that the self - shares, or has a similar experience and empathy - where the experience of the other is imagined. A detailed discussion of the definitions of the concepts and operational ones which were developed are outlined in the Literature Review (commencing page 15). This means it has relevance to the work done in applied theatre settings as this involves working with a range of different individuals. According to Neelands (2001), at the heart of drama and theatre are opportunities to imagine oneself as the other, 'To try to find oneself in the other and in so doing to recognise the other in oneself' (44). At the core of humanity Neelands (2001) asserts is where the boundaries of self and other meet and merge. Furthermore, according to Cooper (2011), the concept of empathy is important because it can enable individuals to understand the emotions of others and to assess and respond to others'

motivations which, Cooper asserts, is essential in effective teaching and learning. Johnson and O'Neill (1984) proposed that an important element in personal development is acquiring the skill of empathy and applying it to the dealings with others. I also suggest it is important to understand the concept of sympathy because it is dependent upon the applied theatre setting in which the student is working. For example, when developing a piece of Forum Theatre (Boal, 1992) as outlined in more detail on page 27. Boal (1992) states that for a piece of Forum Theatre to qualify as true Theatre of the Oppressed, only those who are victims of the same oppression as the character portrayed can replace the oppressed protagonist to find new approaches or 'new forms of liberation' (240) - in effect sharing the experience - sympathy. Therefore, providing students with opportunities to distinguish between the self (sympathy) and other (empathy), could be the first step to help them to begin to differentiate with sufficient rigour the drama techniques that could be used in a variety of applied theatre settings (Thompson, 2009). Furthermore, drama praxis contributes to a practical understanding of empathy and sympathy and is a good introduction to distinguishing between the concepts themselves. This could assist the student's learning to develop the client-facilitator relationship and communicate effectively with a diverse range of client groups. For example, Thompson (2003: 20) an applied theatre academic suggested:

> We are only ever visitors within the disciplines into which we apply our theatre. This is in the same way that we are only ever invited by the prison governor, the development agency or the refugee group into *their setting* (sic). We may be familiar with the theoretical debates that inform the practices in these places but we exercise that knowledge from a *particular position* (sic). We are not expert in these areas nor should we seek to be. One of applied theatre's strengths is in its status as the *outsider, the visitor and the guest* (sic)*.*

The areas in Italics (my emphasis) highlight where it might be helpful for the student practitioner to develop their knowledge of the concepts of empathy and sympathy, and use the concepts as a lens through which to deliberate the client-facilitator relationship and the work being done. Experience would suggest that the setting in which the student decides to work is determined by the individual, who will adopt a particular position based on his/her own values, experience, beliefs and knowledge - as outlined in the Preface page ix. This assertion will be rooted in either empathy 'I am

not you' or sympathy 'that could be me' (Boler, 1997: 256). Arguably, the status of the position, of an outsider, visitor or guest will also be influenced by the concepts of empathy and sympathy. Whilst this is addressed in multidisciplinary literature and specifically social work, it is not addressed in much detail within applied theatre literature.

Within applied theatre literature it is widely acknowledged that the work of Stanislavski, Brecht and Boal had a profound influence on theatre practice and theory worldwide in the twentieth century (Brian, 2005) and continues to do so. These include the seminal texts of Stanislavski's *Trilogy of Acting, An Actor Prepares* (1936), *Creating a Role* (1981), and *Building a Character* (1950); Boal (1979) *Theatre of the Oppressed*, and Brecht's *Epic Theatre* (Prentki, 2003). Furthermore, the tenet on which their work was developed is, I suggest, rooted within the concepts of empathy and sympathy. Therefore, at the students' disposal there are a range of drama and theatre techniques that have either an empathy or sympathy foundation. For the purposes of this work the term drama techniques will be utilised throughout, which encompasses theatre and rehearsal techniques. The practical nature of the drama techniques contributes to the understanding of empathy and sympathy by providing experiential learning opportunities. For example, Stanislavski's Emotional Memory technique has an empathy foundation and is a technique that helps an actor to bring forth truth and connection to a character by drawing on personal emotional memories (Boagey, 1986). Whereas, the following drama techniques are located in sympathy - Reminiscence Theatre, that has its roots in health and social care and based on autobiographical memories and narratives that are shared to create performances that amplify and celebrate the participants lives (Nicholson, 2009). Autobiographical Theatre is a genre in itself where the self is the source of the work (Shaughnessy, 2012). Verbatim Theatre is a specialised form of theatre that is reliant on the taping and subsequent transcripts of conversations with ordinary people. It is usually done within the context of research into a particular region, subject area, issue, event or combination of these (Paget, 1987).

It is widely accepted within the literature the position and influence that Brecht and Boal have had on the emergence of applied theatre both nationally and internationally

(McCammon, 2007; Prentki and Preston, 2009; Prendergast and Saxton, 2009; Landy and Montgomery, 2012). The pedagogies of Brecht and Boal, according to Nicholson (2005a), are what make applied theatre unique. Brecht and Boal used drama to promote and bring about social justice and social action (Holland, 2009), and is outlined in more detail in the Literature Review (page 23). Therefore, it would seem beneficial that a student could distinguish between the concepts of empathy and sympathy in relation to the work developed by Stanislavski, Brecht and Boal in order to utilise the drama techniques in applied theatre settings. Furthermore, Heathcote, a renowned authority on drama education (Johnson and O'Neill, 1984; Cooper, 2011), considered acquiring the skill of empathy important and suggested it ought to be incorporated as part of the teaching of teachers who utilise drama as education (Wagner, 1979; Johnson and O'Neill, 1984). Heathcote (1980: 37) utilised the metaphor of 'stepping into someone else's shoes' to define empathy. There is merit in considering aspects of the work developed by Heathcote because there are some commonalities between her approach developed, and the work students do in applied theatre settings, for example, Heathcote's drama in education strategies (Johnson and O'Neill, 1984) and aspects of process drama (Holland, 2009). Drama in education strategies enabled teachers to use drama as a tool to promote cross-curricula learning situations in classrooms (Hesten, 1995). Heathcote asserts that at the heart of process drama is empathy where the student has the opportunity to try out someone else's shoes and identify with different characters (Hesten, 1995; Holland, 2009; Cooper, 2011). Heathcote believed that empathy enabled the sharing of common human experiences and emotions (Cooper, 2011) in order to identify 'I am not you' (Boler, 1997: 256). In some instances, process drama has become synonymous with applied theatre practice (Holland, 2009). However, the differences and similarities between applied theatre and process drama are explored in Process Drama and Drama in Education section (page 21).

Therefore, at the students' disposal there are a range of drama techniques and understanding these could help the student to distinguish between the concepts of empathy and sympathy and foster effective working relationships with different client groups in diverse applied theatre settings. Moreover, if an inappropriate drama

technique is utilised it could have damaging and serious effects on the work, facilitator and/or participants, and the relationship between facilitator and client group - for example, the use of Stanislavski's Emotional Memory (page 4) drama technique. If this was used in a prison setting or with clients who have mental health issues, this particular drama technique could unleash unwanted emotions from the participants that a student would not be able to deal with and moves into the discipline of dramatherapy. On the other hand, the use of Boal's Image Theatre (1979) could be seen as a more appropriate technique to use in this type of applied theatre setting where the participants share a same or similar experience. Boal acknowledged in *Theatre of the Oppressed* how things could go wrong if the techniques were approached without having a full understanding of their potential and not being administered in the correct way (Hare, 2010).

The different applied theatre settings draw upon different discourse and pedagogies, for example, Theatre for Development (TfD), development discourse. Theatre for Development (TfD) involves the making of plays in developing communities worldwide, where topical issues relevant to the community are tackled (Prendergast and Saxton, 2009; Prentki and Preston, 2009; Landy and Montgomery, 2012). Recently, within the literature TfD has become a contested term (Shaughnessy, 2012) and this debate is beyond the scope of this piece of work, as this is not an applied theatre setting the students have an opportunity to work in.

Whilst it is acknowledged that the practice of drama and theatre practitioners such as Stanislavski, Brecht and Boal have contributed to the understanding of empathy and sympathy and is outlined in the literature review, there is little mention of defining the concepts within applied theatre literature. Therefore, the epistemological definitions were considered from multidisciplinary perspectives commencing on page 29. An interesting parallel began to emerge from the field of social work and particularly in the writing of Gerdes (2011):

> How practitioners can begin noticing and distinguishing between their own experience of empathy, sympathy, and pity... is a first step toward optimizing the client–worker relationship... it is important for practitioners to remember

that empathy and sympathy are qualitatively different experiences with distinctive therapeutic implications. (Gerdes, 2011: 236)

However, unlike social work, the work undertaken by students in applied theatre settings is not designed to have therapeutic implications, as this would be dramatherapy. Prentki and Preston (2009) note that applied theatre practitioners are 'quick to assert that they are not therapists, either by training or inclination, and are concerned with social transformation rather than pathologies of rehabilitation' (12). They do concede that processes are adopted that are very similar to that of the therapist. There are, however, distinctive implications for the type of drama technique that the student employs and this has been examined in more detail in the Literature Review (page 15) and Findings and Discussion chapter (page 112). However, the premise of Gerdes's (2009; 2011) research resonated with my own work, particularly the connection between the importance of distinguishing between the concepts of empathy and sympathy and how this could be related to an applied theatre practitioner. Furthermore, drawing upon social work and working in an interdisciplinary manner, fulfils one of the Quality Assurance Agency (QAA) Subject Benchmark Statement Dance, Drama and Performance (DDP) benchmarks:

> 3.3. Studies in DDP are further informed by concepts and methods drawn from a wide and diverse range of other disciplines. In turn, DDP offer their own distinct theories and practices to other fields of study. (QAA, 2015: 9)

Therefore, it was concluded that this avenue of research warranted further investigation and worthy of academic study. The intersection between social work (page 51), provided an interdisciplinary angle to the research and became the main focus because it had relevance to applied theatre practice and is a new contribution to professional knowledge and originality.

Furthermore, my ontological position is that the student will become a more informed applied theatre graduate if by the end of the three-year programme of study they have an understanding of empathy and sympathy.

Context

During the period of the research, 2014 – 2017, the education climate further established drama as a subject in secondary schools and university that did not have what Bourdieu (1986) termed, cultural capital. Cultural capital, according to Mickleson (2003), refers to the products of education, art and credentialing system. The education system rewards students with cultural capital (Mickleson, 2003; James, 2011), particularly if it has been achieved at an elite institution and subsequently leads to a highly-paid job. In secondary schools, due to subsequent governments' policies on the Arts and Humanities, applied theatre, performing arts and drama have been classified a soft option (Ofqual, 2014; Gardner, 2014; Paton, 2014) and therefore do not attract a lot of cultural capital. Furthermore, MP's were in debate over the proposed English Baccalaureate (EBacc) exclusion of expressive arts from the curriculum (Sterne, 2016; Whittaker, 2016). The Warwick Commission report (2015) outlined that between 2003 and 2013 there had been a 23 percent fall in GCSE drama entries. In addition, the number of drama teachers in schools fell by eight percent between 2010 and 2015. However, the report also highlighted the importance of the arts to the life of the nation and to the £84 billion contribution to the economy (Warwick Commission Report, 2015). The Warwick Commission Report (2015) further stated that due to arts audiences being overwhelming middle-class and white, with low participation from ethnic minorities, lower social groups and people who struggle financially, the role of schools is important to provide all children and young people with an arts education (Dunford, 2016). A Level results for the academic year 2015-16 saw a six-point-one percent decline in drama A Level since 2014-2015. The total number of people taking A Level drama represented one-point-five percent of all total A Levels sat in 2015-16 (baccforthefuture) However, these figures were disputed by Nick Gibb, the Department for Education's Schools minister (2016), who stated that there was not a decline in the take up of the arts GCSE subjects. This is important because it could act as a deterrent to students applying to university to study drama and theatre, as progression routes begin to narrow, which was evidenced in 2015 where there was a 24% decline in arts applications (UCAS, 2015).

Similarly, the landscape of Higher Education (HE) in 2016 saw the introduction of new structures due to the political uncertainty of the Brexit vote to leave the EU and the HE White Paper (2016). The Teaching Excellence Framework (TEF) outlined in the HE White Paper (2016) is set to challenge the relationship between the government, student and HEI. According to Barber et al., (2014) HE in England needs to be radically transformed to meet the challenges in the 21st century to ensure it is an education system fit for purpose. The reduced levels of funding in HE resulted in the decline in a number of key specialist courses (Warwick Commission Report, 2015). It was anticipated that TEF would allow universities with high quality teaching to raise tuition fees beyond £9000 (HE White Paper, 2016). However, this is being reviewed as a result of a House of Lords vote in March 2017 to cut the link between TEF and fees (Bouttla, 2017). Whilst TEF highlighted widening participation as central to HE recruitment, due to the rise in tuition fees there were concerns that this would further disadvantage Black, Asian Minority and Ethnic (BAME) groups, women and students from low income households (Warwick Commission Report, 2015).

According to Jackson (2007), the actual value of the arts within education gets overlooked, particularly empathy and the empathetic engagement with the experience of others, and continues to do so. As does the variety of career options, employability and transferable skills students develop through studying a drama degree, such as working as an applied theatre practitioner, theatre in education, regional theatre education department, informal and formal education settings, social worker, primary and secondary teacher. There are many career opportunities for young people in the arts (Dunford, 2016) and in applied theatre. However, a large proportion of students studying the BA(Hons) programme of study had parents who had raised concerns about them studying the subject by asking 'where would it lead?' At Open Days parents frequently enquired about the amount of debt the student would be in and 'what type of work would s/he be able to do?' Bertie Carvel (2016), Olivier award winning actor, noted that parents up and down the country worried about their children's prospects in adult life and would often push traditional academic subjects and discourage study of the creative disciplines. However, he also stressed that for many young people it is through art and culture that they will create

wealth and opportunity for themselves which in turn contributes to the nation's economy.

The research

The BA (Hons) programme of study in this research is a single honours programme of study that I taught on, at a small UK HEI. The HEI was originally established as a teacher training college in 1862, and now offers a broader undergraduate and postgraduate portfolio. The majority of students on the BA(Hons) programme of study were the first generation in their families to be studying an undergraduate degree and mainly from widening participation backgrounds. The students who participated in the research were the final year to pay £3,500 tuition fees. With the increase in tuition fees, the reduction in those studying drama at GCSE and A Level, and government initiatives and interventions, subsequent years saw the numbers of students studying the single honours degree decline.

The HEI operates a Modular Framework, where a student studies sixteen modules and is required to successfully obtain 360 credits to receive a BA(Hons) degree. To put the work of the students into context Table 1-1 provides an overview of the programme of study and the modules that were studied by the single honours students and some of the different client groups in applied theatre identified. I taught a number of the modules and these are highlighted in italics on Table 1-1. As can be seen on the programme of study, students had numerous opportunities to work in a range of applied theatre settings.

However, the students chosen to participate in the research were studying the Community Orientation and Performance Project modules. The research consisted of a questionnaire (n=14), two semi-structured interviews (n=4) and a focus group (n=4). As an experienced teacher and drama practitioner I was in a good position to adopt the position of a practitioner-researcher. I adopted a practitioner-researcher position because I was engaging with research with students that I worked closely with. A practitioner-researcher, according to Hill Campbell (2013: 2), is '…intentional in their work of collecting data, using the data to make decisions about their practice and the students' learning and sharing the results.' It is research that is rooted in

constructivism and self-reflection. At the centre of practitioner-research is the commitment to studying your own practice for the benefit of others (Bartlett and Burton, 2006), that produces new knowledge (Holden and Smith, 2009). The intention was to conduct a piece of qualitative research to address two research questions:

1. As part of the preparation of students to work in applied theatre settings what importance, if any, are the concepts of empathy and sympathy?

Implicit within the first question the following areas were identified:

- What is the conceptual understanding of the concepts of empathy and sympathy by the student?
- How do students define and understand empathy and sympathy?
- Can the student identify where on the course/modules empathy and sympathy are considered / taught / relevant / important?
- Can the student exemplify where on the course, by providing a practical experience, when the concepts of empathy and sympathy were considered / utilised?

2. Can empathy and sympathy be learned and practised, and if so, what pedagogical techniques are effective?

Similarly, implicit within the second question the following areas were developed:

- How has empathy and sympathy been taught within applied theatre settings and multidisciplinary fields of study?
- What pedagogical techniques have been utilised in applied theatre settings and multidisciplinary fields of study that have credibility?
- Can you teach students to distinguish between empathy and sympathy in order to develop the client-facilitator relationships?

These questions provided the focus of the research. However, as the research progressed additional themes did emerge which were beyond the scope of this project and are considered in the What next? section (page 169).

Year	Module and credits	Brief overview and applied theatre setting identified
Year One	*Drama Skills (30 credits)*	*Developing a facilitator's toolbox. Diagnostic practice*
Year One	*Introduction to Drama (30 credits)*	*Focus on Documentary Theatre and Narrative Arts Primary school setting / Resource Centre / Library*
Year One	*Community Arts (30 credits)*	*Focus on developing the facilitator's skills, knowledge and understanding including community dance practice. Primary school setting / Resource Centre / Library*
Year One	*Applied Theatre (30 credits)*	*Emphasis on Theatre in Education (TIE) work with Year 7-9 pupils on a range of issues such as Cyber-bullying and Homophobia Secondary school*
Year Two	*Global Perspectives (20 credits)*	*Focus on non-European theatre*
Year Two	From Page to Stage (20 credits)	Focus on Shakespeare and performance in community settings
Year Two	*Professional Contexts (20 credits)*	*Developing a professional identity. Individual placement in a Primary, Secondary or Special Needs School, or Prison, Youth Club, AgeUK*
Year Two	*In Dialogue – Site Specific (20 credits)*	*Focus on group work to create site specific performances*
Year Two	*Community Events (20 credits)*	*Focus on Street Theatre and creating a Children's Festival for specific community groups*
Year Two	Playwrights in Society (20 Credits)	Examining the relationship between drama and society with a focus on political theatre
Year Three	*Directing and Devising (20 credits)*	*Developing the facilitator's knowledge and understanding of directing and devising skills and techniques*
Year Three	Studio Practice (20 credits)	Developing own 20 min performance with a small cast of first year students
Year Three	*Performance Project (20 credits)*	*10-week placement in applied theatre setting, such as, Discovery House, Lincoln - secure mental health ward Rucklands Court Day Care Centre – a senior citizen centre St. Francis Special School – children and young adults NACRO – young adults at risk*
Year Three	*Community Orientation (20 credits)*	*Feasibility study and planning and preparation phase for the Performance Project*
Year Three	Educational Drama (20 credits)	Focus on Educational and Process Drama
Year Three	*Dissertation and Individual Study (20 credits)*	*Student identifies own area of research interest within applied theatre*

Table 1-1 Modules on the BA(Hons) single honours programme of study

Significance of the research

Over the years, whilst there has been a growing body of literature into applied theatre, including the work of Thompson and Schechner (2004); Nicholson (2005a); Balfour (2009); Etherton and Prentki (2007); Neelands (2007); Chinyowa (2011); Preston (2016), and Harpin and Nicholson (2017), there is little, or no attention paid to the defining of the core concepts. Therefore, it seemed this would be a legitimate and worthwhile area for academic study.

The study of empathy according to McLaren (2013: 3) is 'a major topic and is currently the focus of extensive review, research and debate' that is of multidisciplinary and international interest. Furthermore, McLaren asserts that the attention of the current research is focused on the competing and conflicting definitions of empathy from different fields of study. Cooper (2011) agrees that the studying of empathy as part of education to help address some of the social inequalities being experienced in the UK and internationally is important.

Therefore, the interdisciplinary and multidisciplinary nature of this research makes a contribution to knowledge across different fields of study and, specifically, applied theatre, education and social work. It is worthwhile and legitimate for academic study because of the new contribution to professional knowledge and practice. The interdisciplinary nature of the research is the main focus and, through the modification of existing models and frameworks presented in social work, contributes to professional knowledge and practice. Furthermore, new interpretations of existing methods and practice have been considered for use with students in applied theatre settings through the development of new teaching and learning pedagogical models. The intended audience for the research includes the HEI colleagues and students where the research took place, HEI's and academics and community theatre practitioners. Within the wider community, interested stakeholders would include potential students, parents, employers and the compulsory education sector. In addition, the work undertaken by drama students in their applied theatre projects ought to be communicated. This is of importance now that HEI's are increasingly expected to be in the business of the commodification of education (Ball, 2004) and

demands of TEF – White Paper (2016) that outlines the boost in 'competition and choice in Higher Education' (5). Furthermore, one of the goals set is to double the proportion of people from disadvantaged backgrounds entering universities in 2020 compared to 2009 (54).

Overview of the thesis

The thesis is organised as follows:

Chapter two explores the theoretical underpinnings of the study and is structured around two central themes emerging from the research questions shown earlier. The various epistemological conceptions are considered from applied theatre and multidisciplinary fields of study, particularly in the search for definitions of empathy and sympathy.

Chapter three provides an account of the ontological, epistemological and methodological approaches adopted, the research design, rationale for the key methods used, an examination of the ethical considerations and data analysis processes undertaken.

Chapter four presents the findings and discussion of the key themes identified. Interpretations are supported by evidence of verbatim words of the participants. The findings and discussion are presented in two sections to address the two research questions.

Chapter five outlines the conclusion and recommendations and considers what has been learnt and recommends the development of an Empathy and Sympathy Resource Pack.

Chapter 2. Literature Review

Introduction

This chapter is structured around the themes emerging from the two research questions shown earlier on page 11. The literature review was used to explain theoretical underpinnings of the research study and assisted in the formulation of the two research questions. The literature review has been integrated throughout the study (LeCompte et al., 1993) and demonstrates the multiple social constructs of meaning and knowledge in respect of providing definitions of empathy and sympathy.

In order to appreciate the type of work and settings which students could be engaged in, definitions of applied theatre are first considered, and a definition provided. Furthermore, to contextualise the relevance of empathy and sympathy in applied theatre an historical overview is provided of the relationship with the concepts in relation to the key practitioners, Stanislavski, Brecht and Boal. To really appreciate the complexities of the empathy and sympathy debate the literature review initially focused on definitions of the concepts and key terms within applied theatre settings. Definitions of empathy and sympathy were then considered from multidisciplinary literature due to the lack of definitions provided within applied theatre literature and presented to give an historical overview of the way the terms have been used in applied theatre and other disciplines

Multidisciplinary perspectives are drawn from professions where the concepts of empathy and sympathy featured in professional practice. Authors and subject areas included, Marshall and Marshall, (2011) forensic psychiatry and psychology; Preti et al., (2010) cognitive neuropsychiatry; Sobel, (2008) biology and medicine; Danziger, Faillenot and Peyron, (2009) clinical neurophysiology; Pendersen, (2010) medical teacher; Wiseman, (1996) advance nursing; Webster, (2010) nursing education; Cooper, (2011) and Cunningham, (2009) education; Salmon, (2003) children and youth; Boler, (1997) cultural studies; Escalas and Stern, (2003) consumer research and Gerdes, (2011) social work. The multidisciplinary fields of study investigated provided no agreed definition of empathy and sympathy and the ontological debate is

considered in more detail in a later section and summarised by field of study in Table 2-3 (page(s) 47-48).

Whilst the fields of study were quite far ranging, one of the commonalities was that some of the authors had given attention to teaching and learning pedagogies used to teach the concepts of empathy and sympathy. This provided opportunities to compare and contrast pedagogical models with my own work with students working in applied theatre settings. Interesting parallels began to emerge from the field of social work and, particularly in the writing of Gerdes (2011), which is explored in more detail in the Intersection with social work (page 51). Furthermore, an intersection between social work and applied theatre was the identification of 'self' and 'other' through self-reflection (Neelands, 2001; Holland, 2009; Webster, 2010; Gerdes, 2011) and is considered on page 49. In addition, the applications with social work to applied theatre settings are outlined on page 57, and parallels are drawn with the work being done by the student particularly in the development of the client-facilitator relationship. The client-facilitator relationship is central to the work in applied theatre because it involves working with people, and this is where the intersections with social work proved insightful. In light of these intersections, the implications for teaching the concepts of empathy and sympathy (page 62) are considered in terms of how to help the student define and distinguish between the concepts of empathy and sympathy and to utilise this knowledge to develop the client-facilitator relationship.

Applied theatre definition

Applied theatre is a relatively recent concept. Emerging in the field in the 1980s it has come to be an umbrella term to describe a broad set of theatrical practices and creative processes that go beyond conventional mainstream theatre (Prentki and Preston 2009). Over the years, there has been an increasing amount of literature and research in the field of applied theatre including contributions from Ackroyd (2000); Kuftinec (2001); Thompson and Schechner (2004); Cyrstal (2005); Nicholson (2005a); Balfour (2009); Hughes, Stevenson and Gershovich (2006); Dalrymple (2006), Neelands (2007); Jackson (2007); Nogueira (2007); Prendergast and Saxton (2009) and Harpin and Nicholson (2017). Shaughnessy (2012) suggested that in the mid-2000s, three key

texts were published that helped established the work of applied theatre as a discrete enquiry in theatre studies and raised questions about the terminology used. Philip Taylor (2003) *Applied Theatre: Transformative Encounters in the Community*; James Thompson (2003) *Applied Theatre: Bewilderment and Beyond* and Helen Nicholson (2005a) *Applied Drama: The Gift of Theatre*.

However, within the growing body of literature, there are differing views as to what constitutes a definition of applied theatre. Prentki and Preston (2009: 11), for example, suggested, 'Applied theatre defies any one definition and includes a multitude of intentions, aesthetic processes and transactions with its participants.' Alternatively, Baldwin (2009: 134) suggested that it is 'the use of theatre, drama and/or performance for the achievement of outcomes beyond the artistic experience itself.' Whereas, Horghagen and Joesphsson (2010) proposed it is the use of theatre in non-traditional ways that brings about changes in human occupation involving direct participation and audience participation. The spectator's active engagement is fundamental to applied theatre practice (Shaughnessy, 2012). Moreover, Taylor (2003: xx), asserts that it '…becomes a transformative agent that places the audience or participants in direct and immediate situations where they can witness, confront, and deconstruct aspects of their own and others' actions'. Nicholson (2005a) contributes to the debate by stating that the work undertaken is orientated towards social change, personal development and community building through various forms of participation in drama, theatre and other performance practices.

As a concept itself, like empathy and sympathy, there are differing views as to what constitutes a definition of applied theatre. However, there are some common features that can be asserted based on the work undertaken by Dalrymple (2006); McCammon (2007); Chinyowa (2011), and Shaughnessy (2012). The common features are, first, applied theatre projects actively encourage integrated participation with local communities - for example participants who tend to be on the cultural margins of society such as immigrants, disabled people, women, cultural outcasts, survivors of war and abuse; second, there are opportunities for experiential learning for the participants and the practitioner(s)/facilitator involved; third, there is mutual negotiation with the community and stakeholders; fourth, there is an ability of

adaptive flexibility in order to respond to the needs and interests of the different stakeholders and community members; fifth, the context, in which, it is applied, because it is based in theatre and drama-based activities in non-traditional theatre spaces/settings and outside of mainstage and mainstream theatre; sixth, there is a focus on providing social awareness and a response to social issues and change; seventh, the theatre and/or drama activities are transformative and provide a sense of utilitarian purpose, and, finally, eight, there are opportunities to develop transferrable skills such as self-confidence, ability to work as a group and making democratic decisions.

However, Shaughnessy (2012) provided three core principles that appear to be fundamental to defining applied theatre: one) the context; two) having a utilitarian purpose, and, three) involving an active engagement with its audience. Whereas, Ackroyd (2000) and Balfour (2009), proposed that the central theme within applied theatre work is social intentionality. Moreover, Ackroyd (2000) asserts that the intention itself will vary between the different applied theatre settings as to whether it is 'to inform, to cleanse, to unify, to instruct, to raise awareness' (1).

The definition of applied theatre that I have developed, as a result of the applied theatre literature review and specifically the work of Dalyrmple, (2006): McCammon, (2007); and Chinyowa, (2011) is as follows:

> The practice of drama and theatre-based activities that focuses on providing social and personal awareness, in response to social issues and change in a diverse range of community settings.

This definition has been developed as it closely represents the work undertaken by students on the BA(Hons) programme of study. The students have the opportunity to work with a wide range of clients where social issues and change pertinent to the client group will be explored utilising drama and theatre-based activities and in an ethical manner. There is a consensus within the literature that the core elements of an ethical framework in applied theatre comprises of the setting of boundaries; empowerment of the client group; creating a safe environment; trusting relationships between facilitator and client, and the balance of power (Shaughnessy, 2006; Neelands, 2007; Hare, 2010; Appleby, 2013). However, this is outlined in more detail in

the Ethical considerations section on page 84. The work is usually explained and translated to fit the specific social context, for example, 'supports self-esteem', 'builds confidence', 'heals sociopsychological wounds', 'creates new approaches to learning', or 'promotes participatory community development' (Thompson and Schechner, 2004: 12).

Applied theatre encapsulates a diverse range of community and educational settings that includes, Theatre in Education (TIE), Theatre of the Oppressed, Theatre for Health Education, Theatre for Development (TfD), Theatre for Social Justice, Prison Theatre, Community Based Theatre, Museum Theatre and Reminiscence Theatre (Prendergast and Saxton, 2009). Throughout the programme of study that I taught, the student could work in the majority of these settings. The exception is Theatre for Development (TfD) as this practice involves the making of plays in developing communities worldwide where topical issues relevant to the community are tackled (Prendergast and Saxton, 2009; Prentki and Preston, 2009; Landy and Montegomery, 2012). Examples include Social Theatre in Bangladesh (Alison, 2004) and theatre projects commissioned to focus on human rights in Pakistan (Mundrawla, 2007). However, it is important to consider the different settings because the work developed will demand a multidisciplinary approach (Prendergast and Saxton, 2009). This could have implications for teaching students how to define and distinguish between the concepts of empathy and sympathy to develop the client-facilitator relationship. Applied theatre draws on theory that is relevant to the specific location of the project (Thompson and Schechner, 2004). For example, theatre in schools uses educational theories to interrogate its work (Thompson and Schechner, 2004). Balfour (2009) asserts that Prison Theatre draws upon the principles of criminology and therapeutic models such as cognitive behaviour therapy. Prison Theatre is theatre and drama work that takes place in prison-related contexts (Prendergast and Saxton, 2009; Landy and Montgomery, 2012). For example, Geese Theatre Company (UK) develops theatre projects with offenders and people at risk of offending (Prentki and Preston, 2009). According to Kuppers and Robertson (2007) the work of James Thompson in prison settings has had a significant impact on the development of applied theatre in the UK due to the techniques and strategies he has employed.

Within the literature there is some evidence to suggest that there is potential for participants engaged in an applied theatre project to increase their capacity for empathy (Day, 2002; Hughes et al., 2007; Dennis, 2008) by participating in practical drama techniques as outlined in a later section. Furthermore, some literature alludes to the concept of empathy in relation to the audience and participants of applied theatre (Day, 2002; Jackson and Leahy, 2005; Dennis, 2008; McConachie, 2008), whilst not providing a definition of empathy. Shaughnessy (2012) proposed that empathy for an applied theatre practitioner might be considered an important feature of their practical and ethical engagement with a client group because of the nature of the drama techniques employed in educational, social and community contexts. The type of drama techniques ought to involve practitioners and participants as 'active producers' (6) utilising applied theatre praxis to achieve social transformation (Shaughnessy, 2012). Furthermore, the drama practices, forms and structures enable individuals to become creative and active constructors of knowledge and therefore cultural producers rather than cultural consumers (Nicholson, 2005a; Wright, 2011; Shaughnessy, 2012)

Boal's Theatre of the Oppressed, outlined in more detail in the Stanislavski, Brecht and Boal section (page 23), is the theoretical framework utilised most frequently in applied theatre settings (McCammon, 2007) and on the BA(Hons) programme of study I taught. There are numerous social groups that use Boal's theatre techniques to raise awareness of issues concerning gender, race, discrimination and poverty and to campaign for justice and equality (Boal, 1985, 1995, 2006; Shaughnessy, 2012). Furthermore, these techniques provide opportunities to explore and consider the concept of sympathy in an explicit manner and, as such, are referred to quite extensively throughout the thesis. However, it is acknowledged that in later years Boal developed his work to enable individuals to discover their creativity by means of all the arts including 'the word, the sound and the image' (Boal, 2006: 4), which is beyond the scope of this piece of work.

Process Drama and Drama in Education

Whilst, Holland (2009), stated that process drama is sometimes called applied theatre and there are some similarities, there is debate as to whether they are the same. Process drama might be categorised under the applied theatre umbrella in terms of using techniques like Mantle of the Expert and Teacher in Role (McNaughtor, 2004) in the different settings. Bowell and Heap (2005: 59) suggested that 'the term Process Drama is used to describe the genre of applied theatre in which the participants, together with the teacher, constitute the theatrical ensemble and engage in drama to make meaning for themselves.' O'Connor (2003) even proposed that process drama is itself an umbrella term for any approach of learning in, through, and about drama. Within the literature there is debate over the definitions of process drama, drama in education and educational drama, which is beyond the scope of this work. However, one accepted position is that process drama (O'Neill, 1995) or drama in education (Bolton, 1984) or educational drama (Slade, 1954) is primarily utilised in educational settings. In contrast, applied theatre takes place in a host of different settings that may include educational ones. Key proponents of process drama include Heathcote (1980), Bolton (1984; 1992) and Neelands (1992). The theories and techniques help teachers and pupils explore new ideas and feelings and looks at different perspectives of the world and the people in it (McNaughtor, 2004). According to Dawson et al., (2009), previous studies have indicated that drama used in education is particularly suited for engendering sympathy and empathy because the concepts are being considered from the client's point of view. A view that is shared with McNaughton (2004) and Jackson and Leahy (2005). Empathy based work, according to Posti-Ahokas (2013), stimulates the student's imagination to perceive, analyse, interpret issues and reflect. One such technique is Empathetic Role-Play (O'Toole, 1992) which is built upon Vygotsky's concept of dual affect (page 27). O'Toole (1992) suggested that dual affect is where the participant simultaneously stands in another's shoes, unconsciously feeling 'this is happening to me' (the first affect) and simultaneously conscious of the form 'I am making it happen' (second affect), (98). Stanislavski's theatre techniques might be employed in process drama, such as dramatic form and content, role-play (O'Toole, 1992) or emotional memory, improvisation, guided visualisation, characterisation and

theatre games (Griggs, 2001). However, Heathcote (1980), advocated that Stanislavski methods place a heavy and complex demand on students because they are being asked to do what an actor achieves from years of training. Consequently, Heathcote's approach to role-taking required students to only adopt one characteristic attitude as if 'pulling over a mantle of some expertise' (Heathcote, 1980: 38), which formed the basis of the drama technique, Mantle of the Expert. According to Heathcote (1980), drama in education historically tended to deny the value of Stanislavski's theatre approaches and continues to be a contentious debate. Hornbrook (1998) argued against process drama, stating that it denies students access to the skills of theatre. Furthermore, O'Connor (2003) asserts process drama sold out the art form of theatre. However, Heathcote made comparisons between her approach and Brecht's Epic Theatre (Heathcote, 1980), when undertaking classroom drama. Brecht had didactic intentions for his theatre work and appealed less to the feelings and more to the spectator's reason (Heathcote, 1980).

Within applied theatre literature there is a lack of frequency in providing a definition of empathy and sympathy. In the work of Stanislavski, Brecht and Boal, whilst their drama techniques contribute to the understanding of empathy and sympathy, as outlined below, the definitions of the terms are not clearly defined within the literature. In some instances, authors such as Heathcote (1980) and Neelands (2001), utilised a metaphor to define empathy as outlined previously (page 5). Gunkle (1963) was one of the few applied theatre authors to provide a distinction between empathy and sympathy. Whilst Gunkle undertook his research in 1963, there is still merit in his following suggestion of distinguishing empathy and sympathy, particularly as a starting point with students:

> The person who says, "I know exactly how you feel," but adds, "But I wouldn't act like you're acting" expresses an empathetic response, whereas the person who says, "I know exactly how you feel" and then proceeds to break down and cry with the other, expresses sympathy.' (18)

Finally, there is very little regarding the pedagogy of teaching students how to define and distinguish between the concepts of empathy and sympathy in preparation to work within applied theatre settings. Whilst it is acknowledged the practice of drama can contribute to the understanding of empathy and sympathy by providing practical

opportunities to explore the concepts, there is little within applied theatre literature about how the concepts might be employed to develop the client-facilitator relationship. Cognisant of these limitations within the applied theatre literature, definitions from multidisciplinary fields of study were investigated. This was to help develop my own understanding of the terms and create my own definitions which informed the research design, data analysis and discussion of the findings. These definitions are outlined on page 46. It also provided a basis on which to develop a teaching and learning pedagogical model to help students define and distinguish between empathy and sympathy and to utilise the concepts in the development of the client-facilitator relationship.

Historical overview of empathy and sympathy in applied theatre

The practice of drama has contributed to the understanding of empathy and sympathy and particularly with reference to the work of Stanislavski, Brecht and Boal. Therefore, in order to contextualise the relevance of empathy and sympathy in applied theatre an overview of the relationship with the concepts is considered in this section. Within applied theatre literature it is widely acknowledged that the work of Stanislavski, Brecht, and Boal had a profound influence on theatre practice and theory worldwide in the twentieth century (Brian, 2005). These include the seminal texts of Stanislavski's Trilogy of Acting, *An Actor Prepares* (1936), *Creating a Role* (1981), and *Building a Character* (1950), Brecht's *Epic Theatre* (Prentki, 2003), and Boal (1979) *Theatre of the Oppressed*. The texts are utilised within actor training worldwide and as the conceptual framework for higher education studies including the HEI in which I worked. Furthermore, I suggest, that rooted within these texts are the concepts of empathy and sympathy.

Stanislavski, Brecht and Boal

The association with empathy and the theatre can be traced back to Aristotle *Poetics* and *Coercive System of Tragedy* (Boal, 1979: 1) and has been the cornerstone of theatrical communication in Western tradition (Etherton and Prentki, 2007). Aristotle used the word empatheia, meaning that the audience became so identified with the protagonist that their own thoughts were momentarily interrupted as they thought

with the protagonist's mind. That their own emotions were dulled and in place of theirs were the protagonists (Boal, 1979). Aristotle suggested that 'empathy is an emotional relationship between character and spectator' (Boal, 1979: 31) and that this 'relationship can be one of pity and fear and possibly other emotions such as love' (Boal, 1979: 31). Greek Tragedy, according to Aristotle, provided the audience with a cathartic experience, whilst the protagonist would experience a catastrophe at the end of the play. However, the criticism of this was that the audience might switch off from the action of the protagonist by surmising that it would never happen to them (Boal, 1979). Stern (2014) suggested that it was easier for a spectator to feel what the protagonist felt if the situation was familiar rather than different to their own, which in many cases was not the case of the plays performed in Ancient Greece.

In the twentieth century Stanislavski (1863-1938) developed an empathetic theatre (Boal,1992: 49) utilising theatre and rehearsal techniques, such as Method Acting where actors immerse themselves on some level, into the mind and soul of another human being (Brian 2005). Other techniques associated with Stanislavski include Emotional Memory, the Magic If exercise, Character Development and The Given Circumstances (Zarrilli, et al., 2010). 'If' acts as a lever to lift the person out of the world of actuality into the realm of imagination (Neelands and Dobson, 2000). The work of Stanislavski was developed by proponents of process drama including Heathcote, Bolton, Neelands and O'Toole (Hesten, 1995; Holland, 2009) where participants were concerned with the ability to identify and put oneself in someone else's shoes. Arguably, Stanislavski's influence on theatre worldwide in the twentieth century has been profound. The systems of acting that he developed are still utilised within modern-day theatre and his seminal works form the basis of actor training and theatre studies within educational institutions worldwide - including the HEI where the research took place.

By contrast, German playwright and director Brecht (1898-1956) developed a counter position in response to the theatre developed by Stanislavski which challenged the empathetic relationship between the audience and performer. Here empathy was being regarded differently in drama in the transition from Stanislavski to Brecht and beyond. Rather than adopting an empathetic stance as propounded by Aristotle and

Stanislavski, Brecht advocated a theatre form where audience members were active learners and who could use their learning for social transformation (Prentki, 2003). Empathy, according to Brecht and Boal, was limited to an emotional orgy (Babbage, 2004) and ought to take the spectator beyond catharsis to inspire people to action (Boal, 1979). Brecht's concept of Epic Theatre had an emphasis on the narrative and the impact of social circumstances upon human actions. This underpins the work of a wide variety of applied theatre practitioners (Prentki, 2003), including the work undertaken by students at the HEI at which I taught. The Verfremdungseffekt is a key element of Epic Theatre which has been translated as the distancing effect or alienation effect (Franks and Jones, 1999). Furthermore, according to Shaughnessy (2012), it is where the 'familiar is made strange' (190). Brecht developed this technique initially in his learning plays, Lehrstücke - plays that were short, severe, and instructive for an audience of students, workers and children (Prendergast and Saxton, 2009). Verfremdungseffekt shaped the development of Epic Theatre (Eriksson, 2011). Epic Theatre is a theatre that 'alienates the audience in order to mitigate against the powerful and potentially limiting effects of empathy, firmly setting the portrayal of events against the pattern of social history' (Franks and Jones, 1999: 194). It is 'intended to work upon audiences as a form of intellectual empowerment that enables them to practice anti-oppressive social change outside the theatre' (Prentki, 2003: 21). Stern (2014) suggested that the epic elements in Brecht's performances counteract empathy. Shaughnessy (2012) concluded that empathy is something of a vexed concept because, as a term, it has been used in a somewhat disparagingly manner by contemporary performance scholars and practitioners in relation to Brecht. In part, Shaughnessy (2012) suggested that this is due to misinterpretations of the work of Brecht, and the reference to 'crude' empathy that she asserts, is associated with his work. Bennett (2005) offered an explanation of 'crude' empathy as another's experience that is assimilated to the self in the most simplistic and sentimental way. However, it is beyond the audience's immediate experience and therefore beyond comprehension of 'I am not you' and 'that could be me' (Boler, 1997: 256).

Boal further developed the work of Stanislavski and Brecht in his seminal text *Theatre of the Oppressed* (1979). Within the body of literature, this work has become

synonymous with the development of applied theatre practice both nationally and internationally (Prentki and Preston, 2009; Prendergast and Saxton, 2009). Boal's basic philosophy was that of being sympathetic with the oppressed in any situation, and the belief in humanity's ability to change (Boal, 1972). Boal was influenced by the pedagogical work of Paolo Freire (1921-1997), (Landy and Montogmery, 2012), a Brazilian educationalist, and, principally, his seminal work *Pedagogy of the Oppressed* as is reflected in the name. Freire was credited with making a significant contribution to educational practice both nationally and internationally (McCammon, 2007). According to Prentki and Preston (2009), Freire explored the possibilities of learning as a way of transforming lives that required a genuine dialogue between student and teacher; where individually, each took on the role of both learner and teacher. This premise, asserts Prentki and Preston (2009), has much in common with ideas around the client-facilitator role in applied theatre settings and the processes and techniques undertaken. The facilitator shares in the teaching and learning process instead of being the sole resource (Hughes et al., 2006).

Freire's central tenet was that people are experts in their own life (Snyder-Young, 2011). Furthermore, Freire proposed a 'dialogic model of interaction' (Coutinho and Nogueira, 2009: 173) that required informal talks between educators and the target community to take place in order to generate information about life in the area (Coutinho and Nogueira, 2009). Freire explored the possibilities of learning as a way of transforming lives of students by engaging in a process that demanded genuine dialogue with student and teacher where both parties took on the role of learner and teacher (Dwyer, 2004; Prentki and Preston, 2009). The ability of the educator to know the object is remade every time through the students' own ability for knowing (Freire and Shor, 1987). According to Coutinho and Nogueira (2009), Boal's theatre work was influenced by the dialogic strategies proposed by Freire. In particular, the identification of the community's problems and then utilising theatre techniques to analyse those problems, with the aim of organising a collective discussion to try to solve them. Theatre of the Oppressed was created for communities facing a common oppression (Boal, 1992). One of the main objectives of Theatre of the Oppressed was to 'change the people – spectators, from passive beings in the theatrical phenomenon

– into subjects, into actors, transformers of the dramatic action' (Boal, 1979: 97). He coined the term 'spect-actors' (Boal, 1992: 17) to describe the role of the audience. Boal proposed that the stage, whilst a representation of the reality, was a fiction, whereas the role of the spect-actor was not fictional. The spect-actor existed in the scene and outside of it - in effect in a dual reality. Boal (1995) referred to the notion of metaxis to describe the aesthetic creation of reality:

> …the state of belonging completely and simultaneously to two different, autonomous worlds: the image of reality and the reality of the image. The participant shares and belongs to these two autonomous worlds… (43)

Vygotsky referred to this as dual affect where 'the child weeps as a patient, yet revels as a player' (O'Toole, 1992: 166). 'By taking possession of the stage in the fiction of the theatre he acts; not just in the fiction, but also in his social reality. By transforming fiction, he is transformed into himself' (Boal, 1992: xxiii). To do this Boal insisted that the spect-actor required doing more than just 'putting oneself in the place of someone or something else' (Gunkle 1963: 17) or 'putting oneself in the other person's shoes' (Heathcote, 1980: 37; Boler, 1997: 257; Day, 2002: 21) for transformation to take place. Boal (1979) argued that the element of empathy from an audience perspective required a passive attitude, which Boler (1997) referred to as 'passive empathy' (256). He stated that, 'empathy is the most dangerous weapon in the entire arsenal of the theatre and related arts' (Boal, 1979: 93). Boal's basic philosophy was that of being sympathetic with the oppressed, in any situation, and the belief in humanity's ability to change (Boal, 1992).

Forum Theatre is one of the core techniques of *Theatre of the Oppressed* (Boal, 1979; 2006). It stimulates audience members out of their role as a passive viewer of events and they are encouraged to join in the action to elicit a new ending and consider alternative solutions (Landy and Montgomery, 2012). In essence, it is a proposition to a group of spect-actors to watch a dramatic situation based on real life and, after the first viewing, replace the protagonist to try to improvise different variations of his/her action (Boal, 1979; 2006). Different spect-actors replace the protagonist to try to find a solution - effectively, a rehearsal for life (Boal, 1992; 2006). Boal (1992; 2006) stated that, for a piece of Forum Theatre to qualify as true Theatre of the Oppressed, only

spect-actors who are victims of the same oppression as the character can replace the oppressed protagonist to find new approaches or 'new forms of liberation' (240) - in effect sharing the experience (sympathy - my interpretation). Boal stressed that if the spect-actor be replaced by someone who has not experienced the same oppression it 'manifestly falls into theatre of advice; one person showing another what to do – the old evangelical theatre' (241) - in effect imagining the situation, (empathy - my interpretation). Prentki and Selman (2003) provide an example of a Forum Theatre piece about domestic violence that was performed by a group of women survivors to a miscellaneous audience. Prentki and Selman proposed that the audience acted like 'voyeurs' (81) because they did not have an experience of domestic violence and no relationship to the survivor group.

Within the literature there are examples of Forum Theatre being attributed with developing empathy even though the audience had not experienced the same experience. For example, Day (2002), provided an in-depth analysis of the experiences of pupils involved in a Forum Theatre workshop that explored refugee and homelessness issues. Day (2002) determined that the pupils were able to develop an 'empathetic identification' (31) with characters that they both identified with and those different to themselves. However, Boal (1979) did not advocate empathetic identification, yet Day (2002) considered that this was an important feature of the project and categorised it as Forum Theatre. Therefore, Day's (2002) interpretation of Forum Theatre did not seem to accord with Boal's version and demonstrated further confusion over the definition and role of empathy in relation to Boal's drama techniques. This calls into question the claims of the authors as to whether it was a piece of Forum Theatre or an interpretation of it. This is important to acknowledge, particularly when considering the development of teaching and learning pedagogies to explore the concepts of empathy and sympathy in applied theatre, to ensure that the appropriate examples are being provided.

There is contemporary debate, within the literature, about negotiation, the balance of power, learning and knowledge in applied theatre (Thompson, 2009; Low and Mayo, 2013; Griesler, 2015; Preston, 2016) and finding a balance between equality, similarity and difference (Thornton, 2012). The issue of negotiation and balance of power are

considered in more detail in the Ethical Framework section, page 84, and learning and knowledge in the pedagogical techniques section page 64.

Empathy and sympathy within multidisciplinary literature

Within the multidisciplinary literature there is evidence to suggest that empathy and sympathy are two of the most misunderstood terms (Bohlin, 2009). It is difficult to provide a unified definition of empathy and sympathy because over the years definitions have constantly been reinterpreted and redefined by authors from different fields of study (Eisenberg and Strayer, 1987). Stepien and Baernstein (2006) in the medical literature agree that the complexities of defining empathy and sympathy are due to the range of differing positions. Empathy and sympathy have evolved in different ways relating to different fields of study such as medicine, nursing, philosophy, psychology, counselling, social work and education. Two common themes within the literature from multidisciplinary fields - particularly from philosophy, medical, psychology, social work and education authors - are that distinguishing between empathy and sympathy, and providing a definition, is very difficult, as terms are often used interchangeably (Davis, 1990; McLaren, 2013), incorrectly, conflated (Gunkle, 1963; Gair, 2008), misused, and a range of divergent and conflicting definitions stated (Coplan, 2011; Cooper, 2011). Wiseman (1995: 1164) a nursing author, provided the distinction between empathy and sympathy as:

> Empathy differs in that we try to imagine what it is like being that person and experiencing things as they do, not as we would.

> Sympathy involves 'feeling sorry' for the other person or imagining how we would feel if we were experiencing what is happening to them.

Likewise, Gair (2008) in social work literature suggested that empathy and sympathy are often conflated and provides the distinction that empathetic practitioners share their understanding, whereas a sympathetic practitioner shares their emotions and feelings. Boler (1997: 256) in cultural studies literature suggested empathy is where 'I am not you' and sympathy 'that could be me.' Some authors consider sympathy to be completely distinct to empathy (Baron-Cohen, 2011), whereas others consider sympathy to be the emotional component of empathy (Eisenberg, 2000; Stepien and Baernstein, 2006), yet others view sympathy as part of the process of empathy

(Marshall and Marshall, 2011). Clark (1987) emphasises that all sympathy begins with empathy and that sympathy relates to the sorrow and compassion felt for another and concludes that this is a basic need of human society.

The following section considers the differences and changes to the definitions of empathy and sympathy from multidisciplinary fields of study and is framed around the chronological shifts from a medical to a social model of health.

Definition of empathy from multidisciplinary fields of study

There is an agreement within the applied theatre and multidisciplinary fields of study literature that, chronologically, empathy as a concept can be traced back to the Greek roots of 'em' and 'pathos', meaning, feeling into (Coulehan et al., 2001). Aristotle used the phrase empatheia, meaning to suffer with (Cunningham, 2009), or appreciation of another's feelings (Hojat, 2007) However, it was in 1909 when empathy first appeared in the English language (Coulehan et al., 2001; Greiner, 2011) It was a translation of the German term Einfühlung or 'feeling into' taken from the study of German aesthetics and the work of Robert Visher (1873), (McLaren, 2013). Visher used the word to describe the capacity to 'enter into a piece of art or literature to feel the emotions that the artist intended and a person's capacity to permeate a piece of art or object with meaning and emotion' (McLaren, 2013: 24). It is acknowledged that it was psychologist Edward Titchner (1867-1927) who introduced the term into psychology in the UK in 1909. Furthermore, that Theodor Lipps (1851 – 1914) developed the theory of Einfühlung (Montag et al., 2008) and presented empathy as a central category of the philosophy of the social and human sciences (Gair, 2008; Greiner, 2011).

When the term empathy was first introduced into the English language in the 1900's, Western society was dominated by a biomedical model of health and illness (Stephens, 2008). Biomedical in that the body is separate from the psychological and social processes of the mind (Stephens, 2008; Lyons and Chamberlain, 2006). Therefore, the relationship between the physician and patient would be framed from the point of view that the individual was just a physical entity that is quite separate from psychological and social processes (Stephens, 2008). As such, according to Lanzoni (2015), the interpretation of the 1900's term of empathy did not mean to feel

another person's emotion, rather the opposite. At this time, to have empathy was to project one's own imagined feelings onto the world - arguably, adopting a sympathy position. Thus, began the debate over providing a definition for empathy.

During the mid-twentieth century the definitions of empathy in psychology began to shift due to a move from the biomedical model of health to a biopsychosocial model. The biopsychosocial model of health and illness developed from the interplay of biological, psychological and social factors (Stephens, 2008; Lyons and Chamberlain, 2006). The premise being that, if people could be persuaded to take responsibility for their own behaviours such as eating healthy foods, engage in exercise, safe sex and other safety practices, they would be healthier (Ibid). The social nature of behaviour only makes sense when the social contexts are understood in terms of the ideals, mores and moral structures from family, friends, peers and wider society. It is these factors that have a greater importance to social well-being than the requirement to prevent diseases (Stephens, 2008). The biopsychosocial model proposed by George Engle (1977) developed out of the need for medicine to take into account the patient (Stephens, 2008) and influenced the development of health psychology. The relationship between the physician and patient had to change from that adopted in the biomedical model to engender a position of trust and confidence to encourage the patient to take control over the social aspects of their lives (Ibid). Empathy, asserts Jeffrey (2016), is a way for physicians to see the world from the patient's point of view. Rogers (1975), founder of humanistic psychology, placed empathy at the heart of patient-centred psychotherapy and social work. As such, in developing interpersonal communication between the physician and patient, empathy began to be considered and definitions were redefined and reinterpreted.

In 1948 the first tests for measuring interpersonal empathy by experimental psychologist Rosalind Dymond Cartwright, in collaboration with Leonard Cottrell, were conducted (Lanzoni, 2015). Furthermore, according to Lanzoni (2015) in 1955 the term was defined in the Reader's Digest, for the public arena, rather than just in academia, and stated, 'empathy was the ability to appreciate the other person's feelings without yourself becoming so emotionally involved that your judgement is affected.'

During the 1960's and 1970's empathy was researched and discussed as interest developed across different fields of study and described in different ways, such as, was it a 'quality, an ability, a state and a concept' (Cooper, 2011: 10). This, further confused the debate over providing a definition for empathy. Cunningham (2009) in the field of education, suggested that over the years the term empathy has been embraced by psychologists and psychoanalysts to such an extent that it is now, unwittingly, associated with a multitude of meanings evidenced in the literature. This was further demonstrated in the January 2012 issue of Emotion Review where scholars from around the world and from different disciplines came together to share current research on empathy and to provide an agreed definition. However, a clear, agreed-upon definition of empathy, or what differing facets constitute empathy, could not be found (McLaren, 2013).

Over, the last twenty years interest in empathy has moved into neuroscience to those engaged in different fields of study including medicine, psychology, social work and applied theatre (McConachie, 2008; Baron-Cohen, 2011; Cooper, 2011; Shaughnessy, 2012) and in particular, the work of Damasio (1996). Damasio has undertaken research into brain development, that has linked the emotional, the cognitive and physical as never before and suggests that empathy appears to involve learning about others in multiple respects and sharing cognitive and emotional responses (Cooper, 2011). Furthermore, Baron-Cohen in his work on theory of the mind, proposes that 'having a theory of mind is to be able to reflect upon the contents of one's own and other's minds (beliefs, desires, intentions, imagination, emotions, etc.), (Baron-Cohen, 2001).

Within the multidisciplinary literature an everyday meaning of empathy was provided by Boler (1997: 257) and Day (2002: 21) using the metaphor 'putting yourself in other people's shoes'. Harper Lee (1960) in her Pulitzer-Prize-winning novel *To Kill a Mockingbird* provided the following metaphor:

> You can never understand someone unless you understand their point of view, climb in that person's skin or stand and walk in that person's shoes. (Lee, 1960: 30)

Metaphors are used frequently in the literature to describe empathy (Day, 2002; Gair, 2008; Sobel, 2008) and clearly a good starting place to introduce the concept to students. I developed the following metaphors for empathy and sympathy and were utilised in the data analysis:

> Empathy: I can imagine the experience by placing myself in your shoes and see the situation through your eyes.

> Sympathy: I can share the experience as I own the same or similar shoes only I see the situation through my eyes.

However, metaphors do not convey the complexities associated with the concept of empathy and the subsequent implications for applied theatre projects. Defining the concept is complex because, within the literature, authors suggest there are different types of empathy due to discipline-specific perspectives (Gerdes, 2011; Jeffrey, 2016). Alligood (2005), for example, suggested that there are two types of empathy, one) trait (basic), and, two), state (trained). Alligood defined trait (basic) empathy as a personality trait and argues that this type of empathy cannot be taught as it is an affective response. Whereas state (trained) empathy, a cognitive process, can be taught (Decety and Lamm, 2006) because it is based on the identification of appropriate responses that are reinforced and redefined. Gerdes et al., (2011) suggested that an affective response is 'an involuntary physiological reaction to another's emotions or actions' (117) and that a cognitive process is 'a voluntary mental thought process that interprets the affective response and enables a person to take the other's perspective' (117). Furthermore, Jeffrey (2016) proposed that affective empathy was a subjective experience where a person shared another's psychological state or feeling and emotion. Whereas cognitive empathy was an objective stance that enabled a person to identify and understand another's feelings and perspectives. Hojat (2007) asserts that empathy is primarily a cognitive attribute that involves understanding the patient's experiences, concerns and perspectives combined with a capacity to communicate that understanding. Within the literature, a number of authors refer to affective and cognitive empathy (Davis, 1990; Preti et al., 2010; Webster, 2010 and Gerdes et al., 2011).

Within these positions, however, a common feature of empathy seems to be that it is only possible when there is the recognition 'that I am not you' (Boler, 1997: 256) and that the individual can identify the difference between the self and other quite clearly (Preti et al., 2010; Gerdes and Segal, 2011). Baron-Cohen (2011) suggested that empathy occurs when 'we suspend our single-minded focus of attention, and instead adopt a double-minded focus of attention' (11). Single-minded attention being where the self thinks about their own thoughts and perceptions and at the same time keeps in mind the other's mind, which is double-minded attention. Furthermore, he proposed that empathy is the ability to identify what someone else is thinking or feeling and to respond to their thoughts and feelings with an appropriate emotion. However, there is some consensus within the literature that it is easier to empathise with someone similar to self, for example, other young people, boys with boys, girls with girls and so on (Cooper, 2011).

Cooper (2011) further suggested that definitions within the literature highlight the ambiguity that surrounds the concept as different fields of study provide different definitions. Webster (2012) suggested that empathy is part of a complex set of social behaviours that has deep roots in human relationships. Furthermore, Cooper (2011), advocated that the complexity of empathy ought to be understood in as many diverse ways as possible because of its centrality to human interaction and, therefore, teaching and learning. Cooper (2011) further suggested that there are different types and degrees of empathy which is evident in the literature - for example, cultural empathy, historical empathy (Cunningham, 2009), imagination empathy (Neelands, 2001), moral empathy, affective empathy (Koseki and Berghammer, 1992), emotional empathy and compassionate empathy (Ekman, 2003). In relation to the research undertaken, identifying the different types of empathy proved useful in the development of a pedagogical model to help students understand and define the concept.

A contested view within the literature is that you cannot always step into the shoes of another or 'walk a mile in the shoes of another' (Gair, 2008: 27). Therefore, how easy or difficult is it for the student to step into the shoes of another or to have the ability to step back and look at the situation objectively, when working in a diverse range of

applied theatre settings? And how might this be taught? Furthermore, Danziger et al., (2009) considered whether an emotion can be shared if a person has never experienced it themselves? Cunningham (2009) further suggested that it is challenging for school children to imagine what it would be like to create an historical or fictional character without basing it merely on modern day experiences. By contrast, Preti et al., (2010) argued that the experience of empathy does not require experiencing the corresponding emotion - merely an appropriate one.

Davis (1990) considered the concept of empathy as a 'self-transposal' phenomenon and that it is a process where 'I think myself into the place or shoes of another' (709). However, she suggested that empathy is more complex than just thinking and feeling oneself into the place of another and suggested that empathy is a 'three-way process' (710), which is outlined in Figure 2-1. Stage one is where a person is actively listening to the other to ascertain information. Stage two is the identification phase where the person crosses over from being the self to becoming the other. Stage three the person returns from the other into the self, which is a position of sympathy. This has merit for consideration because the three-way process of empathy has resonance with the work of Stanislavski and Heathcote, as outlined in a later section (page(s) 43-45). Davis (1990) also suggested that sympathy is part of the empathy process, which has support within the literature (Eisenberg, 2000; Escalas and Stern, 2003; Marshall and Marshall, 2011). However, Preti et al., (2010) contests this assertion and proposed that sympathy does not coincide with empathy. This further outlines the complexities of the empathy and sympathy debate as the literature is conflicting, contrasting or concomitant (Coplan, 2011; Cooper, 2011) depending upon the field of study. In many ways it is a personal response that is not easily defined as the literature has confirmed (Cooper, 2011).
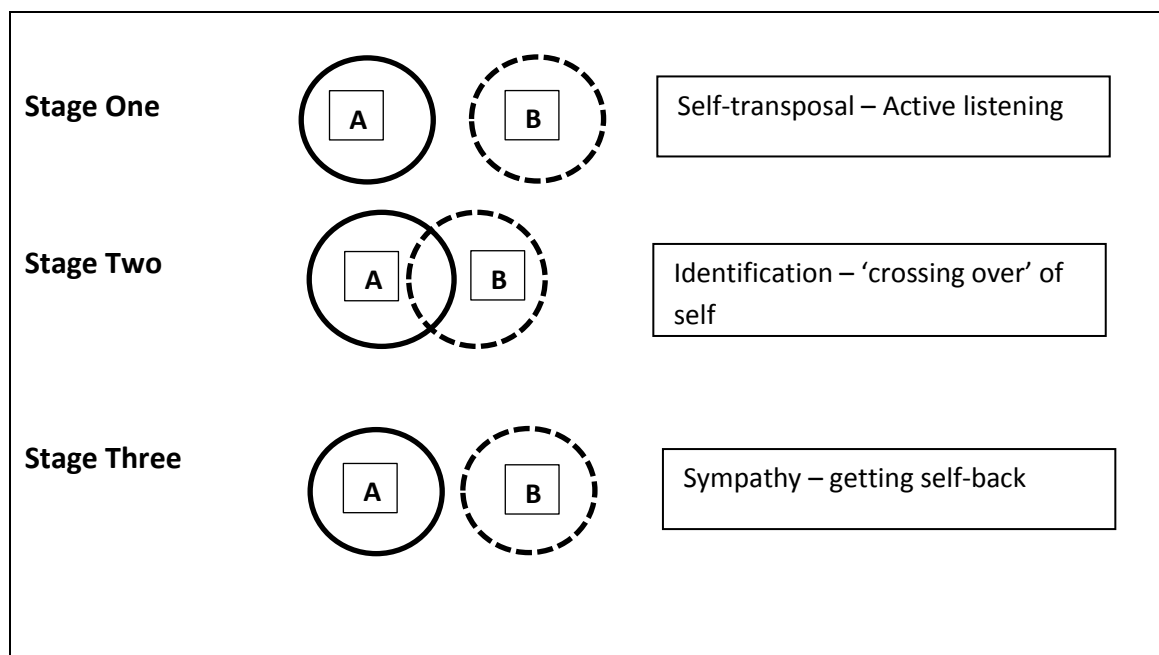
Figure 2-1 Three Stages of Empathy (Davis, 1990)

Within the literature there is a consensus of opinion, particularly within the field of social work, forensic psychiatry and psychology, that the concept of empathy can be defined as a process (Davis, 1990; Coulehan et al., 2001; Preti et al., 2010; Marshall and Marshall, 2011; Gerdes, 2011; Webster, 2012). A comparison of their six different models of empathy is outlined on Table 2-1 (page 38). One of the commonalities is the notion of perspective taking. How participants display certain behaviours and experience specific problems will, according to Marshall and Marshall (2011) in forensic psychiatry literature, affect the process of empathy. Another common theme is the concept of the other, the recognition of and utilising perspective taking to adopt the others perspective. According to Jeffrey (2016) other-centred perspective taking is where the person imagines what the other is experiencing, rather than imagining oneself undergoing the others experience. Preti et al., (2010) in cognitive neuropsychiatry literature asserted that empathy is a core component of social cognition that involves operations aimed at detecting the other's mental state and predicting future behaviour, which is a common feature in the literature. However, Webster (2012) advises caution when using empathy to determine various responses to situations or feelings about a situation. Webster (2012) found that if a person showed strong empathy towards a particular event s/he might be traumatised again

by similar events even if s/he was not a victim the second time around. Webster (2012) claimed that examples of research undertaken in sexual assault, domestic violence and family issues, for example, showed that empathetic pain was as powerful to those who had witnessed the event as it was for those affected. In essence, the over-identification with the other. These types of issues could be encountered by students because the work undertaken is diverse and with a range of different client groups, as outlined in the Preface (page ix). Therefore, this form of empathy could have serious implications for the student and, as such, consideration ought to be given when teaching the concept of empathy. In addition, thought would have to be given to the type of resources and teaching and learning pedagogies developed. This would also include adopting an appropriate ethical framework (page 84) and outlining safeguards that need to be in place, such as distancing (Eriksson, 2011) or emotional regulation (Gerdes, 2011). There are different types of distancing, depending upon the field of study. Brecht, for example, employed distancing perspectives in his work, specifically the Verfremdung (estrangement) effect (Eriksson, 2011). The distancing function is primarily one of protection for the facilitator and participants. It creates a protective distance (Eriksson, 2011) between the self and fictional other (Bolton, 2006). Chinyowa (2011) suggested that the act of make-believe in drama was a form of distancing, where actors move in and out of the make-believe world, 'playing between and betwixt the self and other' (343) experiencing liminality. This is outlined in more detail on page 49. According to Preti et al., (2010) a self-regulatory function is the ability to tune the individual's action and reaction in a manner appropriate to the social context.

Author	Stage One	Stage Two	Stage Three	Stage Four
Davis (1990) Three Stages of Empathy	Active Listening – Self Transposal	Identification – crossing over of self	Sympathy – returning to self	N/A
Preti et al., (2010: 51) **Four different components to empathy**	The intuitive apprehension of other's emotional state	Some kind of cognitive elaboration of this information	An emotional response	A behavioural response, including a regulatory process involved in the modulation of the subjective feeling associated with emotion
Marshal (1995) Model of Empathy involving four stages	Recognition of other's emotional state	Able to see things from the other's perspective. How participants display certain behaviours and experience specific problems	Emotional or compassionate response appropriate to the situation	Take steps to ameliorate other's distress
Gerdes and Segal (2011) **Based on the work of Decety and Moriguchi (2007) Model of Empathy**	Affective sharing – resonate with the other person's signals	Perspective taking	Self/other awareness	Emotional Regulation (Distancing)
Coulehan et al., (2001) **Three components to empathy**	Cognitive: 'enters into' the perspective and experience of the other by using verbal and non-verbal skills	Affective or 'Emotional Focus' the ability to put yourself in the other person's place. 'To walk a mile in his/her moccasins' requiring the experience of surrogate or 'resonant' feelings	Action – feedback is required and communicated back	N/A
Webster (2010: 89) **Four dimensions to measure empathy**	Perspective taking – one's own ability to adopt the other's perspective	Fantasy – identification with fictional characters	Empathetic concern – an ability to feel warmth, compassion and concern for others	Personal distress – to what extent participants experience feelings of fear, anxiety and discomfort when witnessing the distress of others

Table 2-1 A comparison of six different social work models of empathy

Definition of sympathy from multidisciplinary fields of study

As with empathy, there are various definitions of sympathy and the extent to which sympathy is considered is dependent upon the field of study - for example, social work, forensic psychiatry and psychology. There is agreement within the applied theatre and multidisciplinary fields of study that, chronologically, sympathy is derived from the Greek word sympatheias: 'syn', together, and 'pathos', feeling, and means having a fellow feeling (Bohlin, 2009). In the sense of, how would it be if this had happened to me? (Scheler, 1955). Whilst Scheler (1955), a philosopher, debated in some detail the complexities of defining fellow feeling, he does concede that quite a number of philosophers utilise 'comparison' (39) as a means to describe fellow feeling. Gerdes (2011) asserted that the use of sympathy was first recorded in the 16th century. Hume, (1711-1776) a philosopher and coined the 'father of positivism' (Bohlin, 2009:135), emphasised the importance of sympathy in man's 'moral psychology and philosophy development' (136). Furthermore, he stated that sympathy is the process of commiseration, shared attitudes, sentiments and emotions (Kirby, 2003). The primary principle of sympathy, as described by Hume, is the sharing of impressions (Kirby, 2003). Hume regarded sympathy as a principle of communication of the inclinations and sentiments of others (Bohlin, 2009). Hume asserted that sympathy was also a process where the sympathetic observer knew by inference that another person had a certain belief or feeling and then came to share that belief or feeling (Stepien and Baernstein, 2006). Boler (1997) suggested that sympathy is a general identification of 'that could be me' or 'I have experienced something that bears a resemblance to your suffering' (256). Burgo (2011) in psychotherapy literature, defined sympathy as an understanding of what another person is feeling but not to feel emotionally the same. Furthermore, Eisenberg (2000) in psychology literature, asserted that sympathy is the recognition of emotions in others and the compassionate response it triggers within. Whereas Baron-Cohen (2011) in psychology literature, suggested that sympathy is referred to as something you give to an individual when you respond automatically to someone's suffering. That it is one-sided, single focused, behaviour by an individual and therefore not empathetic. Moreover, Eisenberg (2000) defined sympathy as an affective response

that consists of feeling sorrow or concern for the distressed or needy, rather than feeling the same emotion as the other person. Gerdes (2011) in social work literature suggested that the concept and meaning of sympathy has moved further and further away from its original meaning to a more straightforward and less affectively complex definition,

Gerdes (2011) observed that initial definitions of sympathy seemed similar to early 20th century descriptions of empathy as presented by Hume. Furthermore, she summarised that this has resulted in the likely confusion and conflation over the concepts of empathy and sympathy today and within the literature. Cunningham (2009) further offered that it is because of Hume's interpretation that empathy and sympathy are now conflated terms. Bohlin (2009: 149) in philosophy literature, concurred with this and suggested that Hume himself made similar observations in the 16th century as outlined in Table 2-2. The table outlines Hume's nature of sympathy and how it is conflated with empathy. As can be seen, particularly in relation to point two, the process of imagining oneself being in the other's place and taking his perspective, Hume considered as sympathy, whereas in recent literature, such as Jeffrey (2016), this is a common element of empathy as outlined above. This was also evidenced in the early definition of empathy provided in 1909, when a biomedical model of health dominated the medical profession. The physician's role was to 'find it and fix it' (Khanuja et al., 2011: 38) while empathetic communication was an afterthought, if even considered at all. The doctor may have felt sympathy by understanding a patient's illness and trying to alleviate the pain, only not to feel the pain and distress themselves (Khanuja et al., 2011). In a 1964 translation of the Hippocratic Oath by Louis Lasagna, Academic Dean of the School of Medicine at Tufts University, (Tyson, 2001) he refers to sympathy rather than empathy:

> I will remember that there is an art to medicine as well as science, and that warmth, sympathy and understanding may outweigh the surgeon's knife or the chemist's drug.

In recent translations the word sympathy has been omitted and not replaced by empathy. As the biomedical model of health moved to a biopsychosocial model of health and illness the terms appear to have been conflated or used interchangeably,

with Khanuja et al., (2011) suggesting that there are few differences between the two. Furthermore, that the two terms run concurrently in that empathy provides a deeper sense of emotion and a sense that you can feel another's feelings, whilst at the same time feeling sympathetic to their issue (Khanuja et al., 2011). Escalas and Stern (2003) also commented that within research literature, particularly through the 1950's, sympathy was used primarily to describe what is now considered empathy.

1. Direct mental mimicry (contagion, imitation) without perspective-taking (basic empathy)
2. A process of imagining oneself being in the other's place and taking his perspective (re-enactive empathy)
3. A process of applying general psychological or other law-type assumptions to infer the other's feelings or beliefs from his outer and inner behaviour and then converting the ideas of these feelings and beliefs to their corresponding impressions in one's own mind (149)

Table 2-2 Nature of sympathy conflated with empathy according to Hume

However, Eisenberg (2000) determined that sympathy stems primarily from empathy and is part of a cognitive process. This view is shared by Marshall and Marshall (2011) who maintain that sympathy can be seen as a possible result of empathy. Furthermore, Eisenberg (2000) suggested that recent views by some authors concur that empathy and sympathy are both aspects of an empathetic process. For example, Escalas and Stern (2003) suggested that a sympathy response is a precursor to an empathy response. Davis (1990) proposed a graphic representation of three intersubjective processes that defined sympathy outlined in Figure 2-2.
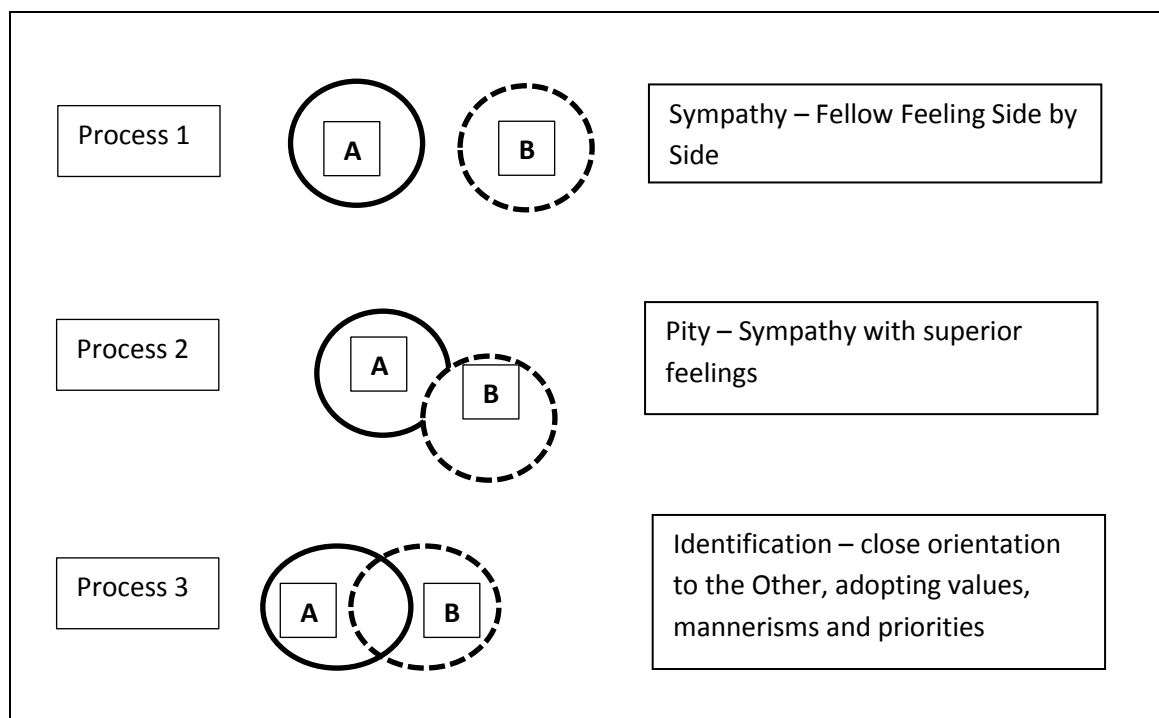
Figure 2-2 A graphic representation of three intersubjective processes to define sympathy (Davis, 1990)

Intersubjectivity has varying meanings depending upon the field of study (Gillespie and Cornish, 2009). It is a term that is primarily used in philosophy, psychology, sociology and anthropology. However, as Wright (2011) suggested, the notion of intersubjectivity is found throughout drama pedagogy as it draws on all of the above and therefore has merit for consideration in relation to applied theatre. At its simplest level, it is concerned with the shared definition of an object and relationship between people's perspectives (Gillespie and Cornish, 2009). Intersubjectivity within applied theatre helps the participant to reveal meanings and relationships to gain a better understanding of their social and cultural life (Wright, 2011). Furthermore, intersubjectivity and theories of agency runs through drama pedagogy, each iteratively developing the other to the benefit of the participant. Theories of agency can help individuals to make their own choices, have freedom and to intentionality take control of their own life, in relation to others (Wright, 2011).

Davies suggested that pity and identification have a shared relationship with sympathy. Furthermore, Davis suggested that pity is a form of sympathy, although it is primarily concerned with more of a superior-inferior relationship. Moreover, she

suggested that by pitying someone, you are feeling sorry for someone whilst feeling, perhaps subconsciously, more fortunate or superior. Gerdes (2011) agrees to some extent that the feeling of pity initially was concerned with feeling sorry for someone and that in recent times has come to be culturally understood as condescending or contemptuous.

Davis (1990) also included identification because, based on the research she undertook, she found that students might do this. Davis (1990) further proposed that identification is a close orientation to the other by adopting his/her values, mannerisms and priorities. Likewise, Winston and Strand (2013) proposed that sympathy involved identification with the other person using statements, such as 'I know how you feel' or 'I feel your pain' (69) which required the self to be subjective. According to Jeffrey (2016: 447) the phrase 'I know how you feel' exemplifies sympathy and is a self-orientated perspective where 'I imagine what it is like to be in your situation' is empathy and a form of identification. However, this further compounded the issue of providing a definition, as identification is being used here both for sympathy and empathy. An observation shared by McConachie (2008). Cohen (2001) suggested that identification requires 'that we forget ourselves and become the other' (247), whereas, Rogers (1975) proposed that the overuse of empathy could lead to identification and a risk of over-identification.

Davis (1990) provided the model to demonstrate how distinct empathy was to the intersubjective process of sympathy, pity and identification. Furthermore, she suggested that sympathy is part of an interpersonal process where an individual aligns or orients him/herself closely to another person or group, religion or political party and builds strong emotional ties. The model presented by Davis (1990) has resonance with the work of Stanislavski and Heathcote (1980) as outlined in Figure 2-3 (page 45). The work of Stanislavski and Heathcote has helped in the understanding of empathy due to the practical nature of the drama techniques. According to Heathcote (1980) Stanislavski's Empathetic Theatre requires the actor to enter 'into the life of another human soul' (37), or align him/herself closely to another (Davis, 1990) so that the audience believes wholeheartedly the actor is the character being portrayed. The actor steps into the shoes of another person's psyche or could even overlap with the

identity of the actor him/herself. The actor steps into the liminal space. According to Turner (1982), an anthropologist, the concept of liminality is where 'liminal entities are neither here nor there; they are betwixt and between the positions assigned and arrayed by law, custom, convention, and ceremonial' (95). Therefore, when the actor returns to the self, the gap between the actor and character can result in the self-aligning closer to the other. Whereas, in Heathcote's 'Mantle of the Expert' (Heathcote, 1980: 38), the actor is only required to take on one characteristic attitude and the role is created by the actor pulling over him/herself a 'mantle of some expertise' (Heathcote, 1980: 38). Therefore, when the actor returns to self, the gap between the other is maintained. Hence, the common theme between the Davis (1990), Stanislavski and Heathcote models is the identification of self and other. This model was utilised in the development of the teaching and learning pedagogy and as a lens through which to present the discussion of the findings (page(s) 145-152).
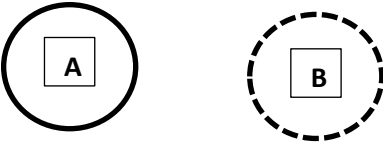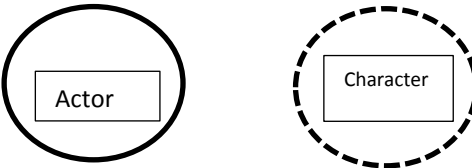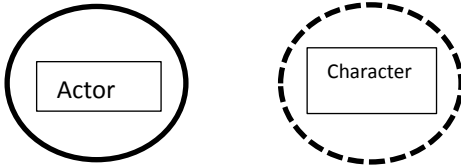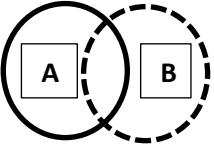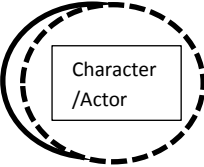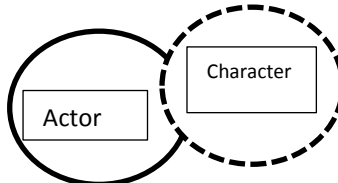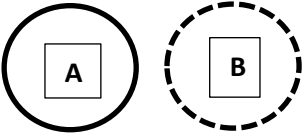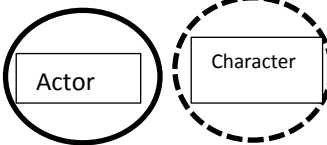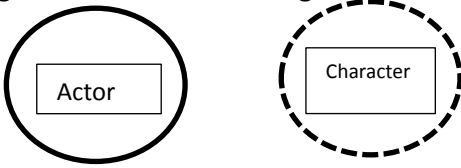
Davis's Model of Empathy	Stanislavski's Empathetic Theatre	Heathcote's 'Mantle of the Expert'
Stage One - Self-transposal – Active listening	**Stage One – Self-transposal – Active listening and research into the other**	**Stage One – Self-transposal – Active listening and research into the other**
A B	Actor Character	Actor Character
Stage Two **Identification – crossing over of self into the character.**	**Stage Two -Actor becomes the character**	**Stage Two - Actor assumes one characteristic of the character**
A B	Character /Actor	Actor Character
Stage Three – sympathy getting self-back	**Stage Three - Actor returning to self – aligning closer to character**	**Stage Three - Actor returning to self**
A B	Actor Character	Actor Character

Figure 2-3 A comparison of Davis's (1990) Model of Empathy, Stanislavski's Empathetic Theatre and Heathcote's 'Mantle of the Expert'

In an attempt to understand the different positions within the ontological debate of providing a definition of empathy and sympathy, Table 2-3 (page(s) 47-48) was developed. This was to provide a comparison of some of the definitional issues raised in the definition section of empathy and sympathy from the multidisciplinary fields of study. The comparison table highlighted the complexities associated with defining the concepts of empathy and sympathy. The table has been ordered to reflect the chronological order in which the terms have been considered in the previous sections, starting with the field of philosophy and theatre to medical disciplines. As a starting point in the development of my own definition, I considered the phrase 'I can imagine the experience, feeling or emotion' for empathy and 'I can share the experience, feeling or emotion' for sympathy, as outlined on Table 2-3 (page(s) 47-48). The student's experience of the concepts of empathy and sympathy could cover the whole gamut of these definitions. For example, one student may experience the concepts as an affective response, as it is an intrinsic part of their being, whereas another adopts the concepts as a cognitive response - as a process that has been taught. Whichever way the concepts are experienced it could have implications on the client-facilitator relationship, the choice of drama techniques employed and the teaching and learning pedagogy adopted.

In response to the critique of applied theatre and multidisciplinary literature I developed the following definitions for empathy and sympathy as a foundation on which to design the research (page 79), the conceptual framework (page 82) and to conduct the data analysis (page 103):

> Sympathy: where there is a strong sense of 'self' and identification of a shared same or similar experience with the 'other' and views the experience from his/her own point of view.

> Empathy: where the perspective of the 'other' is imagined by the 'self' and consideration of the experience is from the 'others' point of view.'

Field of study	Empathy	Sympathy
Philosophy and theatre	Greek root and translated as 'in feeling' and to suffer with (Boal, 1979; Knight, 1989; Coulehan et al., 2001)	Derives from Latin and Greek words and can be translated as 'with feeling' or 'fellow feeling' (Boal, 1979; Bohlin, 2009; Gerdes, 2011)
	Aristotelian and Stanislavski version of empathy could equal passive empathy and falls short of providing a basis for social change (Boler, 1997)	Hume asserts that sympathy arises as part of a twofold process: 1) the sympathetic observer knows by inference that another person has a certain belief or feeling and 2) S/he comes to *share* that belief or feeling (Bohlin, 2009, Stepien and Baernstein, 2006)
	Lipps developed the theory of Einfühlung (Montag et al., 2008)	The sympathetic observer knows by inference that another person has a certain belief or feeling. S/he comes to *share* that belief or feeling (Kirby, 2003)
	Empathetic identification with characters the audience could both relate to and different to themselves – actors and characters from marginalised groups (Verducci, 2000)	Sympathetic transference with the characters who are objects of economic and social forces (Synder-Young, 2011)
	Empathy transference – how the spect-actor felt towards the fictional character to the actual reality. A formulaic process used by a trained actor to develop a character (Verducci, 2000)	Sympathy transference – how the spect-actor understands or shares the same or similar feeling with the fictional character – my interpretation
	'I know exactly how you feel,' but adds, 'But I wouldn't act like you are acting' is expressing an empathetic response (Gunkle, 1963: 18)	'I know exactly how you feel' and then proceeds to break down and cry with the other, expresses sympathy (Gunkle, 1963: 18)
Medicine and philosophy	Empathy defined as appreciating or *imagining* those emotions (Stepien and Baernstein, 2006)	Sympathy defined as *experiencing* another person's emotions (Stepien and Baernstien, 2006)
	Empathy the intellectual identification with or vicarious experiencing of the feelings, thoughts or attitudes of another (Zinn, 1993)	You and I are at one with our feelings and ideas. We stand side by side sharing a common feeling related to something that happened in the past or is happening outside of us now (Wyschogrod,1981)
	Empathy is considered as other-orientated perspective taking where I can imagine being the patient undergoing the patient's experience rather than imaging myself undergoing the patient's experience (Jeffrey, 2016)	Sympathy is self-orientated perspective exemplified by phrases such as 'I know how you feel' (Jeffrey, 2016)
Psychology	Placing yourself in the person's place and I *try* to feel your pain (Wispe, 1986)	I know you are in pain and I sympathise with you, but *I feel my sympathy and my pain*, not your anguish and your pain (Wispe, 1986)

	A psychology definition proposed by Baron-Cohen, (2003) is: 1. The identification of another's mental state, including their emotional state; 2. An appropriate emotional response to their state.	Baron-Cohen (2011) defined sympathy as something you give to an individual when you respond automatically to someone's suffering.
	Empathy is the recognition of an emotional state in others, which then prompts an emotional response. Effectively a match for the emotional state of another (Eisenberg, 2000)	Sympathy is the recognition of emotions in others and the compassionate response it triggers (Eisenberg, 2000)
Nursing	Two types of Empathy according to Alligood (1992) Affective domain – Trait or basic empathy Cognitive domain – state or trained empathy	Sympathy consists of feeling sorrow or concern for the distressed or needy other that has come from a heightened awareness of the other person's suffering and is something that needs to be alleviated (Wispe, 2011)
Physical therapy	Empathy is a process of where 'I think myself into the place or shoes of another' (Davis, 1990: 709)	Fellow feeling - the ability to share their feelings (Davis, 1990)
Cognitive neuropsychology and physical therapy	The Other - 'the distinction of self-versus-other' (Preti et al., 2010)	The Self (Davis, 1990; Gerdes, 2011)
Social work	Empathy empowers (Gerdes et al., 2011)	Sympathy enables (Gerdes et al., 2011)
Cultural studies	Empathy is only possible because there is a recognition that 'I am not you' (Boler, 1997: 256)	Sympathy a general identification of 'that could be me' or '*I have experienced* something that bears a family resemblance to your suffering' (Boler, 1997: 256)
Cultural studies and psychotherapy	Putting yourself in other people's shoes (Day, 2002; Boler, 1997)) or Putting yourself in the place of someone or something else (Gunkle, 1963)	Understanding what another is feeling, but do not feel emotionally the same (Burgo, 2011)
My initial definitions	**I can imagine the experience, feeling or emotion**	**I can share the experience, feeling or emotion**

Table 2-3 A Comparison of some definitional issues of empathy and sympathy from multidisciplinary fields

Identification of Self and Other through self-reflection

Within the literature from applied theatre and multidisciplinary fields of study one of the commonalities in the empathy and sympathy debate is the identification of self and other through self-reflection (Neelands, 2001; Holland, 2009; Webster, 2010; Gerdes, 2011). Preti et al., (2010) suggested that one of the common themes within the literature relating to models of empathy is 'the distinction of self-versus-other' (51) and outlined on Table 2-1 (page 38). The definitions provided by Boler (1997) of empathy, 'that I am not you' (256) and sympathy, 'that could be me' (256) have utility within applied theatre settings and specifically in the teaching of students. Socrates declared 'know thy self and step outside yourself' or 'know yourself and you shall know the other' (Dimaggio et al., 2008: 778). Davis (1990) suggested that in order for the cross-over stage in the empathy process (Figure 2-1, page 36) the person needs to have a secure sense of self that enables the individual to experience the 'coming outside of oneself' (710). The student needs to be able to distinguish quite clearly between the self and other with whom s/he is working to ensure that suitable drama techniques are utilised in an ethical manner and appropriate safeguards adhered to, such as The Safeguarding Vulnerable Groups Act (HM Government, 2006) and The Children Act (HM Government, 2004), in order to protect the client-facilitator working relationship. As Rifkin (2010) asserted, it is essential for those working with marginalised groups and others, to adhere to the statutory requirements around 'duty of care, equality, diversity and health and safety' (5). Gerdes (2011) further suggested that for a practitioner to experience empathy to its fullest extent, the first step is self/other awareness. Smith et al., (2005) suggested that to help a student to develop self-awareness and become empathetic s/he needs to develop a strong self-concept that enables a person to enter another's experience without fear of losing oneself. Aden (2010) also referred to the concept of mimesis, putting yourself in the position of another, whilst staying conscious of remaining yourself. Whilst it is acknowledged that Aristotle first used mimesis in *Poetics* (Taylor, 2008), meaning imitation, here Aden (2010) has developed the interpretation and application of the term. This is an important skill to develop because it could prove extremely dangerous to the participant and/or facilitator if one should enter another's experience and lose

oneself. This has been witnessed by the experience of actors, such as, Deborah Margolin, an American actress, who found the line separating her real self from her stage self, became less defined the deeper into the character she went (Ohikuare, 2014). This is where caution is required when working with some of Stanislavski's techniques, particularly if the participant or facilitator does not have a strong sense of self because s/he could lose his/herself in the technique. Some of the drama techniques that are utilised in applied theatre settings can provide the capacity to see oneself as another (Aden, 2010) and as such helps contribute to the understanding of empathy and sympathy. Heathcote refers to the 'Brotherhood's Code' (Cooper, 2011: 22), whereby simple experiences of their own life have a similar or parallel experience in the lives of others, enabling them to be understood. The actor enters the world of the other to learn about the perspectives of the other (Henry, 2010). Neelands (2001) stated that the principle aim of actor training in drama schools is:

> …to analyse text and character and to inhabit it and to transform into a being other than the self. (44)

Bharucha, an international theatre director, suggested that a first step to the beginning of a radical sociality in applied theatre is the recognition of the other, particularly the pain that is being suffered, and is the beginning of a process of sensitisation and self-transformation (Mackey and Fisher, 2011). Aristotle discusses the human capacity of other centeredness and the importance of one's relationship with, and the ability to understand the feeling of, fellow humans (Cooper, 2011). By helping the student to distinguish between the self and other and to distinguish between the dualism of empathy and sympathy, the student may be able to develop an appropriate client-facilitator relationship that is required in applied theatre settings. The student might also employ an empathetic process or model of empathy that might prove helpful in some applied theatre settings. Empathy and sympathy are both feelings that concern the self and other people, which imply they have relevance to the work done by students in applied theatre settings because they are involved in working with a range of different people. According to Arnold (2005), empathy seeks to understand human behaviour. Gerdes (2011) further suggested that the distinguishing between empathy and sympathy is the first step toward optimising the

client-worker relationship. The distinguishing between the self and other can help the student to differentiate, with sufficient rigour, appropriate drama and theatre interventions that can be used in a variety of applied theatre settings (Mackay and Fisher, 2011). However, a cautionary note provided by Gesser-Edelsburg (2012) is that there could be a danger of generating negative feelings and resistance amongst some students if they feel that they are being forced to identify with the other. This could have implications when developing a pedagogical model which is outlined in the Implications for teaching the concepts of empathy and sympathy section (page 62) and on the client-facilitator relationship.

Intersection with social work

Whilst conducting the multidisciplinary literature review into the concepts of empathy and sympathy, authors within the field of social work presented some interesting observations that I believed warranted further investigation. In particular, the work of Karen Gerdes. Gerdes is an associate professor at the Arizona State University, Phoenix, and has conducted research into social work and empathy and, more recently, social cognitive neuroscience, social justice and empathy. The intention of this section is to draw parallels and comparisons between aspects of the social work research undertaken by Gerdes (2009; 2011; 2013) and the work carried out by students in applied theatre settings. Within the applied theatre community, it is commonly acknowledged that the language of social work may not sit well with some applied theatre practitioners and scholars. However, the models and frameworks of empathy and sympathy in social work had merit for consideration in the development of a pedagogical model to teach the concepts to applied theatre students, in an explicit manner. Furthermore, the model(s) could help the students conceptualise their tacit knowledge, as outlined in the methodology section (page 73). There appeared to be synergy, particularly in respect to the notion of preparing the student to become a 'social agent' (Kuftnic, 2001:46) to work in applied theatre settings, with the work undertaken in social work. This interdisciplinary approach contributes to new knowledge and professional practice. The articles and research undertaken by Gerdes provided an interesting foundation on which to draw comparisons with the research I was undertaking (Table 2-4).

In these articles, definitions of empathy and sympathy were considered together with the implications of distinguishing between the two concepts for a social worker. Specifically, the impact these concepts have on the client-worker relationship. Gerdes (2011) suggested how important it is for the practitioner to remember that empathy and sympathy are qualitatively different experiences because they have distinctive therapeutic implications. Whilst the work undertaken by students in applied theatre settings is steered away from therapy - as this is dramatherapy and they are not trained to do this type of work - there are implications for the client-facilitator relationship and on the work created if an inappropriate drama technique is employed.

Gerdes, K.E. and Segal, E.A. (2009) A Social Work Model of Empathy: Advances in Social Work, 10(2), 114-127.	A social work model of empathy is presented. The model reflected social work commitment to social justice.
Gerdes, K.E. (2011) Empathy, Sympathy, and Pity: 21st Century Definitions and Implications for Practice and Research: Journal of Social Research Service, 37(3), 230-241.	Outlined the historical semantic evolution of empathy, sympathy and pity. Detailed definitions provided of empathy, sympathy and pity. Comparison of empathy and sympathy. Implications for future social work practice and research discussed.
Gerdes, K.E. and Segal, E.A. (2011) Importance of Empathy for Social Work Practice: Integrating New Science: National Association of Social Workers, 56(2), 14-148.	Research from the past decade focusing on empathy and its benefits as an asset to social work practitioners is discussed.
Gerdes, K.E. Lietz, C.A. and Segal, E.A. (2011) Measuring Empathy in the 21st Century: Development of an Empathy Index Rooted in Social Cognitive Neuroscience and Social Justice: National Association of Social Workers, 35(2), 83-93.	A theoretical framework for an initial development and pilot application of an empathy self-report instrument is described. Provided a comprehensive definition of empathy.
Gerdes, K.E. Segal, E.A. Jackson, K.F. and Mullins, J.L. (2013) Teaching Empathy: A Framework Rooted in Social Cognitive Neuroscience and Social Justice: Journal of Social Work Education, 47(1), 109-131.	A social work framework for empathy is outlined. The framework lends itself to identifiable education components that can be implemented within social work curricula.

Table 2-4 Gerdes's articles that resonated with the work undertaken with students in applied theatre settings

Therefore, it would seem helpful for the student to be able to distinguish between the concepts of empathy and sympathy, as they are useful for creating social bonds that

help the practitioner remain sensitive to a client's experience (Gerdes, 2011). This particularly resonated with the work undertaken by students in applied theatre settings, as it is important for them to be able to develop good working relationships, whilst remaining sensitive to the client's experience. According to McCammon (2007), participants in applied theatre settings tend to be on the cultural margins of society such as immigrants, disabled people, women, cultural outcasts, survivors of war and abuse. An example would be the student working with adults with mental health issues in a secure unit, or with clients who have suffered sexual abuse or rape at a crisis centre. S/he would need to be able to remain sensitive to the client's experience whilst not becoming overcome by personal distress. Gerdes (2011) advocates the ability to utilise 'self/other awareness, emotion regulation and perspective taking' (237) as techniques to help the practitioner to develop empathy and avoid becoming overwhelmed.

One particular aspect that Gerdes (2011) focused on that really resonated, and would be useful for students to consider, is the 'sympathetic urge to relieve another's anxiety' (237). Experience has suggested that there have been occasions where students have found themselves wanting to do this, such as offering insights or guidance, or organising to meet clients outside the applied theatre setting to help the client's situation. This was further evidenced in the data by one of the respondents. However, Gerdes (2011) cautioned against this type of behaviour, particularly if it is being done to relieve the practitioner's own personal feelings of distress or, worse, out of egotistical motivations. Furthermore, Gerdes (2011) warned that practitioners who mainly feel sympathy for their clients could become irritable, harbour resentment and develop anger towards the client as their own personal energy is being depleted by taking on the client's burden. This, Gerdes (2011) asserts, is what is at the heart of burnout and can happen when there is emotional identification with a client's feelings.

Empathy, however, is more energising, Gerdes (2011) suggested, because the client is being helped to solve his/her own problems. If the student begins to over-identify with another's predicament and starts to suffer alongside him/her, this would limit the amount of help that can be given, the work undertaken and become problematic to the wellbeing of the student and participant.

In applied theatre settings, the client group may be required to work in a sympathetic manner due to the type of drama techniques being employed, such as Forum Theatre (page 27). Therefore, it would be helpful for the student to understand some of the dangers associated so that s/he can work in a cautionary manner to protect both the client and themselves. Interestingly, Gerdes (2011) asserts that having sympathy for someone takes less attention, focus and energy and is less efficacious than empathy, resulting in a detrimental effect on the client-facilitator relationship. However, Forum Theatre, based in sympathy, demands that the participant and facilitator display attention, focus and energy in order for it to be efficacious, which is a counter interpretation to that presented by Gerdes.

Table 2-5 (page 56) outlines some aspects of social work based upon the work of Gerdes (2009; 2011; 2013), the International Federation of Social Workers (IFSW) (2012), the International Association of Social Work (2001) and Asquith et al., (2005) that can be associated with the work undertaken by a student in an applied theatre setting. It has been developed to provide an overview to legitimise the reason for focusing on social work and for using it to compare and contrast themes. It was particularly beneficial in terms of determining lessons that could be learnt and considered in the development of a pedagogical model of teaching the concepts of empathy and sympathy.

At this juncture, however, it is worth acknowledging that, whilst there is synergy with social work, there are some fundamental differences with the work undertaken in applied theatre settings. The primary difference is, that whilst a problem or issue is explored with a client group, it is done so through dramatic form and theatre practices (Giesler, 2015). It is the act of applying theatre to an issue or situation that requires the facilitator to enter a practical and discursive space full of psychological and sociological reference points (Thompson and Schechner, 2004). The theatre space is a powerful place for meaning making where issues can be dealt with in depth (Anderson, 2007). Furthermore, according to Jackson (2007:271), it is the aesthetic space, the 'creative gaps', where the audience and participant can forge and negotiate their own meanings. It is the participation in critically reflexive theatre practices and processes that assists individuals and communities to be 'socially engaged and by

extension, recognise their dynamic and transformative potential in society' (Boal, 2002: 148).

Role of social worker	Applied theatre student as 'social agent' (Kuftinec, 2001:46)	Personal observation in relation to applied theatre practice
Promotes social change. Problem-solving in human relationships (IFSW, 2012).	Provide social awareness and is responsive to social issues and change (Chinyowa, 2011; McCammon, 2007; Dalyrmple, 2006). Sensitive nature.	Nicholson (2005a) suggested that applied drama is specifically intended to have a social, educational or communitarian purpose. Brecht developed theatre practice to promote transformative social interventions by audience members (McCammon, 2007). Holland (2009) advocated that the careful and subtle sequencing of drama conventions can help lead to transformative social action.
Empowerment and liberation of people to enhance well-being. Principles of human rights and social injustice (IFSW, 2012).	To help participants, through drama, to explore the human condition; to develop a perspective of the world; to understand / struggle with the perspective of others and to move to a sense of social justice and equity (Taylor, 2000:90).	Boal used drama to promote and bring about social justice and social action (Holland, 2009). Boal's Theatre of the Oppressed built on Freire's Pedagogy of the Oppressed (McCammon, 2007).
Utilises theories of human behaviour and social systems. Range of educational pedagogies utilised including Theory of Education, Educational Psychology, Sociology of Education, Pedagogy of children with special needs, Social Psychology and group dynamics (Asquith, et al., 2005).	Multidisciplinary role – knowledge of theatre and how it works with an understanding of teaching and learning pedagogies (Prendergast and Saxton, 2009) including Theory of Education, Educational Psychology, Social Psychology and group dynamics.	Neelands (2001) and Taylor (2000) suggest that Empathetic Imagination is needed to transform society. Furthermore, Neelands (2001) suggested that Empathetic Imagination is at the centre of learning and creativity which is needed to build a pro-human society.
Intervenes at points where people interact with their environment (Gerdes, 2009, 2011).	Works in a diverse range of social settings where people interact with their environment and the applied theatre work is a response to this environment.	For example, student placements have included working with groups at AgeUK, Action for Young Carers, St. Francis Special School, National Association for the Care and Resettlement of Offenders (NACRO), National Society for the Prevention of Cruelty to Children (NSPCC), prison work.
Therapeutic techniques (Gerdes, 2009, 2011; Asquith, et al., 2005; IFSW, 2012).	Dramatherapy.	There is a whole raft of dramatherapy techniques available. However, this requires specialised training which the student will have not undertaken. Therefore, students are advised to steer clear of therapeutic techniques in their applied theatre work.

Table 2-5 Comparison of the role of a social worker and student working in an applied theatre setting

Application of social work components to applied theatre settings

As identified by Davis (1990) and Gerdes (2011), sympathy, pity, identification and empathy have significant implications on the work undertaken in social work and also I suggest, the work undertaken by students in applied theatre settings. The following components were modified and utilised as a foundation on which to develop the questions for the focus group as outlined in the Research Methodology and Methods chapter (page 94) and in Appendix Six.

As outlined previously, sympathy can dictate the type of theatre to develop, for example, Boal's (1979) Forum Theatre and the need for 'fellow feelings' (Prentki and Preston, 2009: 43) between the client group. Cardboard Citizens, for example, a group of ex-homeless actors, has used Forum Theatre in hostels and day centres with homeless people to explore suggestions of how and where ideas or changes initiated or implied during the Forum could be followed up (Jackson, 2009). Geese Theatre Company, a Prison Theatre company, develop pieces of Forum Theatre that mirror the audience's world, characters, stories and situations and is performed within prisons (Watson, 2009). A sympathy – pity relationship (Davis, 1990), however, could be developed to avoid a superior-inferior outlook of the student with the client group, for example, the student feeling sad and becoming teary eyed when a person starts to cry (Coulehan et al., 2001) in the workshop.

Identification with, (Davis, 1990; Gerdes, 2011) or over-identification with, a client group, such as by the student who suggested working with her own therapy group and requested that her counsellor attend her academic tutorials with her, (as outlined in the Preface page ix). Or by another student who had an eating disorder and wanted to work with a group to confront this issue. This is not to suggest that a student could not work with a group that s/he identifies with, as was the case for these two students. Rather, it is over-identification that ought to be avoided. A student would be required, through self-reflection, to acknowledge this identification, to ensure that s/he made an informed decision and put in place the appropriate drama techniques and safeguards for all concerned - when undertaking a piece of Forum Theatre, for example.

Empathy can also dictate the type of drama technique to use, such as Stanislavski's theatre techniques (page 24) or process drama techniques (page 21). The components of Gerdes and Segal (2009) Social Work Model of Empathy were examined in relation to drama techniques that are accessible to the student and utilised in applied theatre settings. The four components of: one) Affective Sharing; two) Perspective Taking; three) Self-awareness, and, four) Emotional Regulation, provided parallels to the work students undertake in applied theatre settings. The components of empathy could be developed by utilising drama techniques, such as: one) Affective Sharing - the drama technique of Mirroring (Arnold, 2005) could be used to explore affective sharing.; two) Perspective taking – drama techniques that provide opportunities to identify with imagined roles, situations and characters (Holland, 2002) including, role play, Mantle of the Expert, Stanislavski's Acting System, use of archetypes and stereotypes for an alternative perspective (Stober and Grant, 2006), empathetic imagination (Neelands, 2001), mimesis (Aden, 2010) putting yourself in the position of another whilst staying conscious of remaining yourself and identification of self and other through role-taking (Neelands, 2001); three) Self-awareness – personal reflection and self-exploration through drama techniques. Students reflect upon their own learning experiences to develop empathy skills (Deloney and Graham, 2003). Reflection within the literature is a common theme for developing empathy, and, four) Emotional Regulation – Distancing techniques including Brecht's Verfremdung (estrangement) effect (Eriksson, 2011).

The practice of drama techniques can help contribute to the student's understanding of empathy and sympathy, by providing opportunities for self-exploration and personal reflection through the active participation of identification with imagined roles and situations (Deloney and Graham, 2003). Here, this also resonates with the components of perspective taking and self-awareness, that requires emotional regulation. Emotional regulation, according to Gerdes and Segal (2009: 119), is 'the internal ability to change or control one's own emotional experience', a skill that would benefit students when working in different applied theatre settings. However, the participation in drama techniques is multifaceted in that it is intended to help the student understand the techniques, become self-reflective, distinguish between the

concepts of empathy and sympathy, and to utilise the concepts of empathy and sympathy in the development of client-facilitator working relationships. Empathy strategies could be utilised by the student to work with groups that s/he feels pity for (Davis, 1990; Gerdes, 2011), or over-identifies with (Gerdes, 2011), or finds disagreeable or unlikeable (Coulehan et al., 2001). Empathy, according to Etherton and Prentki (2006), is a useful tool when there is a breakdown in communication as the facilitator must 'habitually put oneself in the place of the other and essentially take control of one's emotions' (94). Developing empathy or utilising an empathetic process might enable the student to work with groups of people whose background and life experiences are totally different to their own. Whilst Thompson (2009) positions his work very differently to that of social work he has adopted self-advocacy perspectives that enable others to represent themselves, and proposed in his work of 1998: :

> My map of the world is not the same as yours, because my experiences are different…by continually asking those we work with to share with us the landscape they inhabit so that we, through theatre and drama, can assist them in living their lives in a different world.

However, Coulehan et al., (2001) questions whether it is possible for people to express empathy for people whose background and life experiences are totally different. Danziger et al., (2009) also considered whether an emotion can actually be shared if a person has never experienced it themselves. In contrast, Preti et al., (2010) argues that the experience of empathy does not require experiencing the corresponding emotion, merely an appropriate one. Rogers (1975) recommends caution in not overusing empathy and stated that it could lead to full identification with the other, which could be harmful rather than beneficial.

There are examples within the literature that confirm that empathy can be taught using carefully sequenced dramatic conventions (Neelands, 2004) and that the practice of drama contributes to the understanding of empathy and sympathy by providing experiential opportunities. However, how these dramatic conventions are translated to the client-facilitator relationship is unclear. This is where the intersection with social work provided useful parallels to create a new way of thinking for students working in applied theatre settings and is the focus of this section. In Stanislavski's

empathy drama techniques, the actor needs to understand the character from the characters point of view - perspective taking (Neelands, 2004), and therefore, can be related to the client-facilitator relationship. Here, there is an intersection with social work's interpretation of empathy, and specifically, with Rogers (1975) conceptualisation of empathy which 'was the ability to perceive the internal emotional state of another 'as if' they were that person' (Rogers, 1975, cited in Gerdes and Segal, 2011: 142). Gerdes and Segal (2011) stated that social workers had been schooled in Roger's concept of empathy for a generation and had a significant influence in counselling and education (Cooper, 2011). 'As if' resonates with Stanislavski's drama technique of 'Magic If' (Zarrilli et al., 2010). This technique requires the actor to imagine, 'If I were that character in the midst of the circumstances in this scene what would I do?' (Zarrilli et al., 2010: 278). For example, if I were in Lady Macbeth's position what would I do? However, the actor would be exchanged for facilitator and character for client and scene for real life situations, to help the student understand the client-facilitator relationship and how empathy and sympathy could be utilised to enhance this relationship. The applied theatre facilitator becomes analogous with the role of counsellor in social work. Furthermore, Stanislavski's 'Empathetic Projection' (Zarrilli et al., 2010: 377), a drama technique that requires the actor to understand the feelings and values of the character and empathise with this imagined reality, to such an extent that the actor sees the circumstances and actions of the character through the character's eyes and responds accordingly (Zarrilli et al., 2010: 377). This could be applied to the client-facilitator relationship with the substitution of an actor to that of the facilitator, and, rather than understanding the feelings and values of a character, it is an actual client or client group. Rather than it being an imagined reality, the facilitator would try to imagine the reality of the client and see the circumstances and actions through the client's eyes and respond accordingly. Similarly, Stanislavski's drama technique 'Affective Cognition' (Zarrilli et al., 2010: 377), where the actor visualises distinct moments in the lives of characters so that the images trigger affective responses to the characters they were playing. Of course, as discussed within the literature review, there is debate over whether this is affective empathy or cognitive empathy. However, the intention is that the exercise evokes an empathetic response, which is either affective or cognitive and would be dependent upon the

individual participating in the exercise. Therefore, in developing the client-facilitator relationship, rather than a character, it would be imagining distinct moments in the life of the client to trigger a response.

Stanislavski's empathy drama techniques could be of benefit if the facilitator is working with a client group or individual client that is disagreeable or unlikeable (Coulehan et al., 2001), to try to imagine why the client group or individual client is behaving in this manner. By attempting to this, it could help the facilitator to foster an effective working relationship with the client group or individual client, to be able to continue with the applied theatre work. It could also help the student to understand the concepts of empathy and sympathy and the drama techniques in their own right. Finally, the utilisation of an inappropriate drama technique in the wrong setting could also have damaging and serious effects on the work of the facilitator and/or participants (Hare, 2010; Balfour, 2016).

Pedagogical techniques – implications for teaching the concepts of empathy and sympathy

Within the literature from multidisciplinary perspectives, there are differing positions as to whether empathy and sympathy can be taught. Gair (2008) suggested that within the literature there is little evidence provided into how to teach, learn and 'do empathy' (24). Alligood defined trait (basic) empathy as a personality trait and argued that this type of empathy cannot be taught as it is an affective response. Whereas, state (trained) empathy, is in effect a cognitive process which can be taught (Decety and Lamm, 2006) because it is based on the identification of appropriate responses that are reinforced and redefined (Baron-Cohen, 2011). Webster (2010) also referred to trait and state empathy and asserted that in order to select the best teaching strategies an understanding of the differences of these two concepts is required.

Research that supported the view that empathy can be taught include that by Kehret, 2001; Hollingsworth, Didelot and Smith, (2003); Shapiro and Hunt, (2003); Arnold, (2005) and Webster, (2010). The use of the arts and drama techniques to develop empathy is considered in a range of the multidisciplinary articles, such as the use of imaginative re-construction exercises (Deloney and Graham, 2003; Cunningham, 2009), role-play based on dramatic scenes and virtual patients, and the use of medi-dramas with actors who were also actual patients (Shapiro and Hunt, 2003). Exposure to theatrical performances provides a range of valuable educational possibilities (Shaprio and Hunt, 2003) within different fields of study such as, medicine, social work, education and applied theatre and particularly for the practical exploration of empathy and sympathy. Stanislavski and Boal's drama techniques, as outlined previously, are useful to practically explore empathy and sympathy and are a valuable resource for training in education and health. Kehret (2001) makes a case for teaching empathy as an interpersonal skill. Barak (1990) further asserts that empathy is a fundamental factor in interpersonal relationships that is required by those working as a counsellor, physician, educator or applied theatre practitioner. This has merit for the work undertaken by students in applied theatre settings as s/he will be required to work with a diverse range of participants requiring effective interpersonal relationships. Arnold (2009), Goleman (1995; 2006) and Prendergast and Saxton

(2009) asserted that a good facilitator needs to be a good communicator and listener, who possess both social and empathetic intelligence in order to effectively work with groups to make decisions. Barak (1990) used games in education and skill development to help improve attitudes and behaviours and created an empathy game to help increase trainee counsellor's empathetic skills. Webster (2010) agreed that empathy could be taught and suggested that in order to promote empathy, creative reflective activities that engage student self-reflection and an examination of self-bias be utilised. Pinderhughes (1979) suggested that an effective technique for enhancing self-awareness was to include affective components and adopt a systematic approach to teaching empathy.

Davis (1990) proposed that before considering whether empathy can be taught, a definition is required, which is why time was spent in the literature review considering definitions from applied theatre, multidisciplinary perspectives and my own definitions developed and outlined on page 46. However, she further asserts that empathy happens to people and, as such, cannot be taught. That it is a communication process, rather than just a process, and it is this that can be taught. Furthermore, empathy can only be facilitated by modelling behaviours because the behaviour itself cannot be taught.

To help teach students to distinguish between the concepts of empathy and sympathy a model of process drama could be employed in conjunction with the Social Work Model of Empathy (Gerdes and Segal, 2009) and the theories of Stanislavski, Brecht and Boal (page 23). Taylor (2000: 90) proposed that good drama praxis in education ought to provide roles and situations that: one) help the student to explore the human condition; two) develop a perspective of the world; three) understand and struggle with the perspective of others, and, four) move towards a sense of social justice and equity. Therefore, the development of the teaching and learning pedagogy would incorporate elements of Taylor's (2000) model as a foundation on which to help students define and distinguish the concepts of empathy and sympathy in applied theatre settings, and to develop the client-facilitator relationship when working in different applied theatre settings.

Furthermore, Freire's seminal text *Pedagogy of the Oppressed* (1970) outlined a particular practice of merit for the development of a pedagogical model for teaching the concepts of empathy and sympathy - the concept of codification (Freire, 1970). Whilst developing literacy programmes in Brazil for underprivileged communities, Freire utilised codification. Codification, as defined by Freire (1970), is a process whereby information is gathered about a community by an outsider - the investigator - to build a picture or codify real situations and real people. The investigator initially adopts the position of a sympathetic observer working within the community and after several visits begins the process of de-codification. Freire (1970) defined de-codification as when the investigator identifies with all aspects of the coded situation and feels him/herself to be in the situation - arguably developing a position of empathy. The process allowed for a two-way dialogue between the investigator and the community members involved in the project (Nogueira, 2006). Insufficient knowledge and experience of the social structures and community contexts in which the student is working can result in experiences of little impact or value to anyone (Prendergast and Saxton, 2009). Therefore, in respect to the role of investigator, this can be translated to that of the student preparing and working in an applied theatre setting. Consequently, this would be a good framework on which to begin developing a pedagogical model for teaching the concepts of empathy and sympathy.

As a result of analysing the body of literature from multidisciplinary perspectives, particularly social work (Gerdes and Segal, 2009), and applied theatre literature, an initial framework was created with the intention of it being utilised as the foundation for developing a pedagogical model for teaching the concepts of empathy and sympathy (Figure 2-4, page 65) in an explicit manner. The intention of the pedagogical model was to help the student distinguish between the concepts of empathy and sympathy in applied theatre settings. The definitions of empathy and sympathy asserted by Boler (1997), Alligood (2005) and Gerdes et al., (2011), and Freire's (1970) concept of 'codification' and 'de-codification', were summarised and synthesised to create the initial framework that was developed in conjunction with the research data as outlined in the discussion of findings section (page(s) 145-152). The initial premise for the framework was that the processes undertaken by the student would be linear

and that s/he would move from one position to another dependent upon the nature of the applied theatre setting. However, experience suggested that this does not adequately encapsulate the complexity of the processes undertaken within an applied theatre setting. Therefore, whilst the process could be linear, there is also scope within the model for the student to oscillate between the concepts of empathy and sympathy, once these concepts are clearly distinguished and understood.

Phase One – the codification process (Freire, 1970) or Community Orientation.
The student position is adopted from the sympathetic Point of View (POV). 'That could be me' (Boler, 1997: 256) and identification of self through self-reflection (Gerdes, 2011)

Phase Two – the decodification process (Freire, 1970)
The student moves to the empathetic POV realising that 'I am not you' (Boler, 1997: 256) and develop a sense of the other through self-reflection

Phase Three – Duration of the project
The student oscillates between sympathetic POV and empathetic POV, 'That could be me' and 'I am not you' (Boler, 1997: 256)
Utilising sense of self and other through self-reflection

Figure 2-4 Framework for an empathy and sympathy pedagogical model

However, each phase of the framework has teaching implications that were considered in the development of the new and modified pedagogical model to teach the concepts of empathy and sympathy (Figure 4-3, page 150). The teaching and learning pedagogical model would also be framed on experiential learning principles as this is an accepted form of delivery within the teaching of drama. One of the QAA benchmark statements for Drama, Dance and Performance (DDP) is:

6.5. In DDP, experiential learning is a key principle of study. (QAA, 2015:13)

Within the literature there are various definitions of experiential learning. However, Lu Dane and Gellman (2005) proposed that it is often used 'to suggest that people learn best when they are actively involved in their own experiences of or learning by doing' (93). For example, participating in practical Stanislavski and Boal sessions to explore the concepts of empathy and sympathy as outlined previously. Slade (1954) considered experience, rather than intellect, crucial in the process of learning. One of the common features of experiential learning is the notion of learners reflecting upon their own experience whilst making links between theory and practice (Fairlamb, 2001; Lu et al., 2005; Kerekes and King, 2010). One of the accepted proponents of reflective practice is Schon (1983), whose work has been utilised within my own professional practice and in the development of existing teaching and learning resources for students. In Schon's seminal text, *The Reflective Practitioner* (1983), he outlined two types of reflection - reflection on action which takes place after the event and reflection in action that takes place during the event. Each type of reflection had merit for the work undertaken by students in applied theatre settings and for adopting the position of practitioner-researcher (Bartlett and Burton, 2006). Fairlamb (2001) further suggested that the premise behind Schon's reflective practice is the ability to understand the other and, in order to do this, a strong sense of self is required and the ability to enter the other's world. Therefore, the application of Schon's (1983) reflective practice model would serve a dual purpose: one) to help the student identify between the self and other, and, two) to utilise it as a foundation on which to develop a teaching and learning pedagogical model to distinguish between the concepts of empathy and sympathy.

Within the literature, the affective and cognitive domain of empathy and sympathy has been discussed and proposed that experiential learning is an accepted form of teaching and learning. Therefore, it seemed a logical development to consider the work of Bloom as a foundation on which to develop a teaching and learning pedagogical model. According to Krathwohl (2002), Bloom's Taxonomy of Educational Objectives (1956) is a framework for classifying statements of what is expected or intended for students to learn as a result of instruction. It consists of three domains - the cognitive domain, the affective domain and the psychomotor domain (Krathwohl,

2002; Forehand, 2012). The original framework consisted of six categories to which corresponding set of verbs could be attributed to develop pedagogy (Forehand, 2012). Whilst it is acknowledged that since its original conception there have been modifications made to the taxonomy (Krathwohl, 2002; Printrich, 2002; Raths, 2002; Ferguson, 2002; Byrd, 2002; Forehand, 2012), for the purposes of developing the teaching and learning pedagogical model, the initial six categories sufficed. Table 2-6 outlines the six categories, some of the corresponding verbs and an example provided of how it was utilised to develop the teaching and learning pedagogical model.

Category	Corresponding set of verbs	Example of how the categories were used in the development of a teaching and learning pedagogical model
Knowledge	Arrange, define, relate, recall, recognise	Define the concepts of empathy and sympathy
Comprehension	Explain, discuss, express, identify	Explain and discuss the concepts of empathy and sympathy within applied theatre settings and the implications on the client-facilitator relationship
Application	Demonstrate, employ, illustrate, practice, use	Utilise the concepts of empathy and sympathy within applied theatre settings and to develop effective client-facilitator relationship
Analysis	Analyse, appraise, compare, contrast, criticize, differentiate	Differentiate between the concepts of empathy and sympathy; analyse the implications this has on the work / techniques utilised in applied theatre settings and appraise what effect this has on the client-facilitator relationship
Synthesis	Develop, design, organise, plan, prepare, propose	Plan, prepare and propose where the concepts of empathy and sympathy could be utilised within different applied theatre settings and on developing effective client-facilitator relationships
Evaluation	Appraise, assess, evaluate	Through the use of reflective practice activities evaluate understanding and application of the concepts of empathy and sympathy within applied theatre settings and for developing effective client-facilitator relationships

Table 2-6 Bloom's Taxonomy of Educational Objectives – Six Categories

Main points summarised

In conclusion, the themes emerging from the two research questions: one) Applied theatre and concepts of empathy and sympathy, and, two) Pedagogical techniques – implications for teaching the concepts of empathy and sympathy, were considered as the basis of the literature review.

The work undertaken is often of a sensitive nature, takes place in a diverse range of applied theatre settings and requires the student to develop good working relationships with a range of client groups. As such, an interesting parallel began to emerge from the field of social work and particularly, in the writing of Gerdes (2011: 236):

> How practitioners can begin noticing and distinguishing between their own experience of empathy, sympathy, and pity... is a first step toward optimizing the client–worker relationship... it is important for practitioners to remember that empathy and sympathy are qualitatively different experiences with distinctive therapeutic implications.

A critique of relevant research literature pertaining to empathy, sympathy and applied theatre settings, and from multidisciplinary perspectives, was undertaken and presented to give an historical overview of the way the terms have been used in applied theatre and other disciplines. Due to the ambiguities in the literature concerning definitions of the key concepts in this study within applied theatre settings, definitions were considered from multidisciplinary research literature, in order to highlight the complexities of defining the terms. It was found that within the literature there were conflicting interpretations and definitions of empathy and sympathy. For example, some author's stated sympathy is completely distinct from empathy - Stephien and Baernstein, (2006), Webster (2012) and Boler, (1997). Whereas, others suggest that sympathy has become synonymous with empathy - Gunkle, (1963). Furthermore, some authors only refer to empathy and do not consider sympathy - Day, (2002) and Etherton and Prentki, (2007). Whilst drama practice contributes to the understanding of empathy and sympathy by providing practical drama techniques, specifically those of Stanislavski and Boal, there is a tendency for definitions of empathy and sympathy to be completely overlooked or a metaphor provided or just

implied within the outlined social intention of the applied theatre project. Equally, within applied theatre literature there is little that investigates how the practitioner distinguishes between the concepts of empathy and sympathy that can be usefully developed into pedagogy or a theoretical framework to teach students and develop the client-facilitator relationship. Therefore, the work undertaken in social work and, particularly Gerdes (2011) was investigated further to make parallels and comparisons. To explore the importance of this in terms of the sensitive nature of the work undertaken by students and the different settings in which applied theatre takes place, an analysis of applied theatre settings was provided. However, within the body of literature it was challenging to find a definitive definition of applied theatre, so several commonalities were considered. An interpretation provided by Ackroyd (2000) and Balfour (2009) proposed that the central theme within applied theatre was that of social intentionality, which positioned itself well against the assertion that the student is being developed to take on the role of a 'social agent' (Kuftinec, 2001: 46). Furthermore, this notion aligned well to the assertions made within social work where parallels and comparisons were made into the role of a social worker and that of the student in applied theatre settings. The implications for teaching the student were considered and an introductory pedagogical model developed to help the student to become a 'social agent' (Kuftinec, 2001: 46) and a multidisciplinary facilitator (Predergast and Saxton, 2009). Furthermore, the pedagogical model could help the student to distinguish between the concepts of empathy and sympathy in applied theatre settings and to choose the most appropriate drama technique. The teaching and learning pedagogy of Freire's (1970) codification and de-codification practice was investigated and utilised to develop the initial framework, as was the Social Work Model of Empathy proposed by Gerdes and Segal (2009).

However, developing the pedagogical model was not without challenges as identified within the body of literature. Criticisms of applied theatre and practices include ethical and moral concerns, with specific reference to the issue of authority and power within the client-facilitator relationship (Shaughnessy, 2012). Another criticism that has been levied at some practitioners within applied theatre is the questionable motivations and ideologies that are in operation (Ackroyd; 2000; Schiniṅa, 2004; Balfour; 2009). As

a result, Schiniǹa (2004) asserts that the practitioner ought to be at the service of the group that is being worked with, which is advocated by Boal and Freire (Coutinho and Nogueira, 2009). This was also echoed within the social work literature (Gerdes and Segal, 2009). Therefore, in order for the student to question his/her own motivations and ideologies the student is required to be able to identify between the self and other through self-reflection (Neelands, 2001; Holland, 2009; Webster, 2010; Gerdes, 2011). The student ought to have an understanding of the complexities of the concepts of empathy and sympathy, and the ability to distinguish between their own experiences of the concepts, as this might help prepare them to work in applied theatre settings, the client-facilitator relationship and choice of drama techniques.

Chapter 3.   Research Methodology and Methods

Introduction

This chapter begins by outlining the ontological and epistemological position of the research and how this informed the research questions, methodological approach and research design. According to Denzin and Lincoln (2005) all qualitative researchers are philosophers and their philosophical stance (Savin-Badin and Howell Major, 2013) will frame the research. Furthermore, the researcher's ontology, epistemology and methodology will shape the research and form the paradigm framework (Denzin and Lincoln 2005), which is outlined in the following section.

Ontology

There is a consensus within the literature that ontology (Mathew and Ross, 2010) is concerned with the nature of reality (Denzin and Lincoln 2005). Matthew and Ross (2010) propose that ontology is concerned with what can be studied to find out why people see things differently. Anderson (2013) suggests that the world and knowledge are created by social and contextual understanding. Within the literature, it is widely accepted that an ontological position in its simplest form exists in a continuum from left to right - from realism to constructivism (Arthur et al., 2012). Realism supports the view that there is a singular objective reality that exists independently of the individual's perceptions of it. Conversely, constructivism argues that reality is neither objective nor singular, in that multiple realities are constructed by individuals. The intention of this research was not to test a theory but rather to elicit rich, thick, data from the perspectives of students I taught on the BA(Hons) single honours programme of study, at a small UK HEI. My ontological position is that I believe that empathy and sympathy in applied theatre settings are concepts that will be experienced by students in a multitude of different ways. However, when I first started out on the research, I did not consider empathy and sympathy as being fundamental to applied theatre practice - a position that changed as the research developed. I did however, consider that the concepts of empathy and sympathy might be useful constructs to help prepare students to work in applied theatre settings and improve their knowledge,

understanding and learning. Furthermore, I felt that the student would be a better informed applied theatre graduate if, by the end of the three-year programme of study, s/he had an understanding of empathy and sympathy. Also, that by having this understanding, the student's professional behaviours would be developed, which could affect their social relationships and, particularly, the client-facilitator relationship in different applied theatre settings.

Denzin and Lincoln (2005) propose that qualitative research enables the researcher to study things in their natural settings in an attempt to make sense of, or interpret, phenomena, in terms of the meanings that people bring to them. Arthur et al., (2012) suggests that the different perspectives or beliefs may lead to different interpretations. Therefore, to make sense of a particular interpretation, the perspectives and beliefs need to be known and understood and how the individual might have been influenced. As it is a constructed phenomenon it will mean different things to different people (Mertens, 2009). Students will have constructed their knowledge and meaning of empathy and sympathy based upon their own experiences of them, their background, history and social conventions, which cannot be observed by an outsider (Opie, 2004) and will be beyond their three years of study. Ontologically there is an acceptance that prior understanding shapes the interpretation and constructivist view of the world based on the participant's history (Denzin and Lincoln, 2005). Therefore, a constructivist ontological position was adopted to help me understand the way meanings were constructed by the students and how such meanings were presented through language and action (Savin-Baden and Howell Major, 2013). Mertens (2009) agrees that knowledge is constructed by people active in the research process. Therefore, participants were given the opportunity to explain their own experiences of empathy and sympathy in applied theatre settings in order for interpretations to be made (Opie, 2004) via the questionnaire, semi-structured interviews and focus group. However, it has to be acknowledged that the interpretation of the data would be informed by my own personal knowledge, history, culture, assumptions, beliefs, experiences, values and viewpoints, (Opie, 2004; Johnson and Christensen, 2012; Creswell, 2013), which are outlined in the Preface (page ix) and the operational definitions of empathy and sympathy that I developed

(page 46) to enable comparisons and contrasts to be made. Therefore, as Mertens (2009) suggests, the ontological perceptions changed throughout the process of the research due to my own positionality, knowledge and understanding of the concepts of empathy and sympathy within applied theatre settings. As the research progressed and after undertaking the literature review, my own thinking and knowledge changed, particularly in relation to the definitions of empathy and sympathy which informed the data analysis, findings, discussion, conclusions and recommendations.

Epistemology

The philosophical assumption of epistemology is the nature of knowledge, what constitutes knowledge, what is possible to know understand and represent (Opie, 2004) and how knowledge is justified and warranted (Johnson and Christensen, 2012). Furthermore, Denzin and Lincoln (2005) suggest that it is the relationship between the inquirer and what is known. At the start of the research I did not know what the student already knew with regards to empathy and sympathy - whether they had been taught previously about the concepts, what their experience might be of them or if I was investigating tacit knowledge. Tacit knowledge that the student him/herself had acquired during their pre-course exposure to structured drama. Within the literature it is suggested that tacit knowledge is largely accumulated as a result of experience or exposure (Davenport, Delong and Beers, 1998; Busch and Richards, 2004) and based on common sense (Smith, 2001). Yang and Fern (2009) assert that tacit knowledge is based upon an individual's know-how and experiences from past individual or collective actions. In this research the sample group were all young people with little experience and therefore unlikely to have developed significant tacit knowledge relevant to empathy and sympathy. Therefore, I had to consider whether tacit knowledge was being presented, particularly if the participants experience of the concepts was affective or a personality trait (Alligood, 2005) and, if so, how to capture and analyse this data. Alternatively, was it knowledge that had previously been taught via documents (Chugh, 2013) based on universally accepted and objective criteria (Yang and Fern, 2009) that had been archived, codified and easily accessed by others (Abdullah Mohammed, Bin Hassan and Ali- Taha, 2015)? For example, articles outlining the range of definitions within the literature review or definitions provided within

dictionaries or the use of metaphor. Or had the students acquired academic knowledge of the concepts that had been tested through a range of intelligence and aptitude tests (Somech and Bogler, 1999) in their formal education, in their current studies, or at primary or secondary school? For example, as part of the National Curriculum in terms of the Personal, Social, Health and Economic (PSHE) curricula (Department for Education, 2013). Thereby, demonstrating a cognitive or trained response to the concepts. The nature of the evidence that I wanted to elicit was rich, thick, data from the students I taught that described and defined their own knowledge, experience, understanding and interpretation of the concepts of empathy and sympathy in applied theatre settings. Therefore, due to the constructivist ontology, the epistemological position adopted was interpretism (Arthur et al., 2012) because the accounts and observations of the individual students were sought and knowledge developed through a process of interpretation. It was an interpretivist approach because the knowledge gathered included the participants' interpretations and understanding of the concepts of empathy and sympathy in applied theatre settings. This enabled different perspectives to be explored and interpreted in terms of themes associated with the concepts of empathy and sympathy in applied theatre settings. Therefore, a constructivism/interpretism ontological position was adopted, requiring epistemology that was more personal and utilised interactive modes of data collection (Mertens, 2009), including semi-structured interviews and focus group. Furthermore, data tools that enabled multiple perspectives in order to yield better interpretations of meaning enabling comparison and contrast of data (Mertens, 2009) were used. According to Yang and Fern (2009) tacit knowledge can be shared by social interaction and this informed my decision to include semi-structured interviews and focus group. Without the knowledge gathered in the research I could not decide if a new practice or teaching and learning pedagogical model(s) ought to be introduced to address the themes discovered (Matthews and Ross, 2010), particularly if it was tacit knowledge that had been exposed. Barritt (1986) further suggests that research leads to a better understanding of the way things appear to someone else and through that insight lead to improvements in practice. According to Mustafa (2011) one of the limitations of the interpretist paradigm is that the accounts derived from the participants are not uncovered, rather created by the researcher due to the research

design. However, this was considered in the research design when researcher bias was clarified at the beginning of the research and outlined in the Preface (page ix). Furthermore, a pragmatic approach (Johnson and Christensen, 2012) was adopted to develop the research design and conducted based on what would help answer the research questions outlined on page 11. The pragmatic paradigm requires a partnership between the researcher and participant to develop knowledge and design principles that is intended to improve learning as a result of the research (Anderson, 2013). Furthermore, Mustafa (2011) proposes that one of the central tenets of the interpretist paradigm is the researcher-participant relationship. This was particularly relevant as the position of practitioner-researcher was adopted, due to the research taking place as part of normal professional practice, in-situ, at my place of work. Whilst the proposed approach to collect data was from within the experience, I did not want the students to just be participants in the research. I wanted it to be part of their learning experience and I intended the research activities they were involved in to be of benefit in their own development and understanding. Therefore, it was determined that case study methodology would be an appropriate approach to adopt to design the research, as outlined below.

Methodology

Due to the qualitative nature of the research, constructivist ontology and interpretative epistemology position adopted, it was decided an appropriate methodology to utilise would be case study to design the main research. Within the literature there is debate as to whether case study is a methodology in its own right. For example, Stake (2005) suggested that it is not, rather that it is a choice of what is to be studied. Whereas Creswell (2007) asserted case study is a methodology because the research design is located in qualitative research that is both an object of the study and a product of the inquiry. Yin (2009) proposed that case study research required following a rigorous methodological path rather than it being a methodology. The processes undertaken are outlined in detail in the Research Design section (page 79). Case study is a common research method in education (Yin, 2009; Thomas, 2011) and tends to favour an interpretivist framework. Furthermore, case study is widely employed in applied theatre settings, which is supported by a substantial body of

evidence within the literature review. For example, Taylor, (1996); Bassey, (1999); Kyburz-Graber, (2004); McCammon, (2007); Janesick, (2011). Prendergast and Saxton (2009) in *Applied Theatre, International Case Studies and Challenges for Practice*, provide a compilation of thirty international case study articles that employ a range of case study methodologies.

Within the literature pertaining to case study, there is not a unified position offered by the different authors as each provided a different definition, terminology and boundaries (Stake, 1995; Bassey, 1999; Yin, 2009; Creswell, 2007 and Thomas, 2011). In the initial planning, I located my research within the different positions and selected elements that were appropriate for my own research design and addressed the research questions. For example, the data collection tools were chosen to elicit thick, rich data, narrative for analysis and interpretation from student responses to the research questions, as stated previously. A single, explanatory and evaluative case bound by time and place was determined (Stake, 1995). This was an appropriate design due to the research taking place in-situ, at my place of work, as part of normal professional practice and in close proximity to the location of where the students studied. The bounded phenomenon was embedded within its own context (Miles, et al., 2014), as the unit of analysis (Yin, 2009) was a cohort of final year students studying a BA(Hons) single honours degree programme, at a small UK HEI.

Therefore, the research design was an instrumental-intrinsic-explanatory case study with an embedded, single-case design (Yin, 2009), which is appropriate for educational research settings (Stake, 1995) and reflected my personal interest in the case. The research was a snapshot in time, in that the case under examination took place within a defined period, March – July 2014, rather than over an extended period of time (Thomas, 2011), with students studying a BA(Hons) single honours degree. Detailed and in-depth data collection tools (Yin, 2009; Bassey, 1999; Stake, 1995; Creswell, 2013; Cohen et al. 2011; Newby, 2010), were employed to generate emergent descriptions (Stake, 1995). After each data collection tool was applied it was evaluated (Yin, 1984; Bassey, 1999) to help inform and shape each phase of the research design and formed part of the critical reflective and reflexive practice. The data collection tools comprised a questionnaire, two semi-structured interviews and a focus group.

The research focused on third year students (N=24). The rationale for including third year students was that theoretically, having spent two years on the BA(Hons) programme of study, the selected third years would have more experience to draw on and be able to make more of a contribution to the study. Whilst not all students were involved in the research, the case included a cross-section of students with purposeful selection of participants (McMillan and Schumacher, 2001, 2006; Cohen, et al., 2011), so that a number could be tracked through a series of data collection tools. Furthermore, it was considered that the students chosen would be truthful in their responses and honest (Opie, 2004) and that I would believe what they told me because of my relationship as teacher and researcher with the students (Merriam et al., 2001). The gender breakdown of the group was two males and twenty-two females. Traditionally, within undergraduate drama degree programmes in the UK, there is a higher ratio of females to males who study drama. In 2013-14 and 2014-15 the percentage of female to male undergraduates were females 69.4% and males 30.6% (Higher Education Statistics Agency, 2016).

Four third year students, three females and one male, on the BA(Hons) single honours programme of study - who were studying the Performance Project module at the beginning and end of the ten-week placement - were selected to participate in two semi-structured interviews and had previously completed the questionnaire. The Performance Project is a project in an applied theatre setting of the students' own choice, with guidance from their lecturer. Four students took part in the focus group, three females and one male, with three of the participants having participated in the semi-structured interviews.

Why case study methodology?

By adopting a case study approach, it meant that other research designs could be discounted in favour of this approach due to the nature of the research being undertaken. Creswell (2007) suggested that for qualitative inquiry, a grounded theory design, ethnographic design, phenomenological approach or a narrative design could be utilised. Although a grounded theory approach to research is quite common in the work of drama educators, including, Slade (1958), Way (1967), Bolton (1979),

Heathcote (1984), Neelands (1990), O'Toole (1992), O'Neill (1995) and Taylor (2000), it was ruled out because it was not the intention of the research to develop theory. Nor was it an ethnographic study because the cultural behaviours of the group, or their shared understanding of the location in which they inhabit (Reeves et al., 2008), were not under investigation. However, it was acknowledged that whilst the group of students spent time together interacting, and may have some shared or regular patterns of language and behaviour, how the group functioned was not a primary concern of the research. Furthermore, the research was about the teaching and learning of the individual within the group rather than the group itself. Whilst a phenomenological approach could have been adopted because the lived experiences of individuals around a phenomenon was under investigation, the actual phenomenon varied for each student due to the different applied theatre settings they found themselves in. Therefore, it was dismissed in favour of a case study approach. In the earlier stages of designing the research, some thought was given to utilising a narrative approach when a longitudinal study of one student was briefly considered. However, this was ruled out due to my deciding to undertake a snapshot approach (Thomas, 2011) with more than one student, so narrative for representing the generated data from the research was employed for the data analysis and reporting of the findings which begins on page 112.

Within applied theatre literature it is acknowledged that the use of practice or performance based methodological approaches are favoured - particularly performance ethnography. According to Denzin (2003: x) 'performance ethnography simultaneously creates and enacts moral texts that move from the personal to the political, from the local to the historical and the cultural.' Furthermore, the performance is seen as a form of agency - a way of bringing culture and the person into play. It is a performance that interrogates and evaluates specific social, educational, economic and political processes (Denzin, 2003). However, in the early stages of designing the research, consideration had been given to undertaking a practical workshop based on the deconstruction of an appropriate script to explore empathy and sympathy. This was discounted because I wanted to investigate the student's knowledge, understanding and experience of the concepts via social

interaction and so decided upon a questionnaire, two semi-structured interviews and focus group. Furthermore, had I focused on the applied theatre work of the participants and how the student had created the work with them, then performance ethnography would have been an appropriate tool. I did not deem this appropriate to address the research questions, as I wanted to elicit thick, rich data from the participants and to utilise this data in the preparation of the teaching and learning pedagogical model that would include practical and experiential activities. The next section outlines in more detail the research design adopted.

Research Design

The research design according to Yin (2009) is the blueprint for the research. Rowley (2002: 18) contributed, 'it is the logic that links the data to be collected and the conclusions to be drawn to the initial questions of a study; it ensures coherence.' The research design was informed by the models of Creswell (2013); Maxwell (2005); Yin (2009) and Cohen et al., (2011) and integrated aspects of each into the research design. Phase one commenced with the literature review and development of an operational definition of empathy and sympathy. It also included undertaking the pilot study with applied theatre academics and preparation of the overall operational plan (Cohen et al., 2011) of the research undertaken in 2012-2014. The research goals (Maxwell, 2005) were identified, the study's questions (Yin, 2009) developed and theoretical perspective (Creswell, 2013) outlined. The nature of the research questions and investigation I wanted to conduct was to elicit thick, rich, narrative for analysis and interpretation from student responses to the research questions:

1. As part of the preparation of students to work in applied theatre settings what importance, if any, are the concepts of empathy and sympathy?
2. Can empathy and sympathy be learned and practiced, and if so what pedagogical techniques are effective?

The design of the main research focused on addressing the two research questions in four stages that included: stage one) the conceptual understanding of the students to ascertain what they already knew and understood of the concepts of empathy and sympathy; stage two) identification of where empathy and sympathy had been

considered / taught / relevant / important on the course / modules; stage three) exemplification of where on the course, by providing a practical experience, the students had utilised or considered the concepts of empathy and sympathy, and, stage four) to review teaching and learning pedagogical models of teaching the concepts of empathy and sympathy within the literature from an applied theatre perspective, and multidisciplinary perspectives, to draw comparisons and parallels.

Phase two concentrated on the design and conceptual framework (Maxwell, 2005) and piloting of data techniques (Cohen et al., 2011) in a pilot study, and strategies of inquiry identified that informed the procedures undertaken (Creswell, 2013). Phase two helped inform phase three where the plan and preparation details were developed for the research. This included securing approval from the Ethics Panel and consent from participants and is outlined in more detail in the Ethical Considerations section (page 84). Phase three was also where the main research was developed, with the identification of methods of data collection and data analysis identified (Creswell, 2013; Yin, 2009; Cohen et al., 2011), in relation to the research questions (Maxwell, 2005). Phase four focused on conducting the research and data collection (Yin, 2009; Cohen et al., 2011).

I wanted the research experience to inform the development of a teaching and learning pedagogical model. Therefore, I adopted a constructivist learning model (Yuen and Hai, 2006) as a foundation on which to develop the research design and the teaching and learning pedagogical model, to help explain to students the concepts of empathy and sympathy within applied theatre settings. Brooks and Brooks (1993) argue that this type of model ought to foster deep learning so that it can be applied to new settings, rather than just challenging students' current thinking. They proposed a model that had merit for consideration for the research that included five key principles: one) problems are posed of emerging relevance to the student; two) the concepts are structured from whole to part; three) students' points of view are valued and their suppositions addressed; four) the curriculum is adapted to address the students' suppositions, and, five) assessing student learning in context. In the first instance the key principles were considered as part of the development of the research design and outlined in Table 3-1.

Key Principle	Research element
Problems are posed of emerging relevance to the student	What importance, if any, are the concepts of empathy and sympathy in applied theatre settings?
Structuring concepts from whole to part	Conceptual understanding of empathy and sympathy Defining the concepts of empathy and sympathy Distinguishing between the concepts of empathy and sympathy
Valuing students' points of view and addressing students' suppositions	Can the student identify where on the course/modules empathy and sympathy is considered / taught / relevant / important? Can the student exemplify where on the course, by providing a practical experience, of when the concepts of empathy and sympathy were considered / utilised?
Adapting curriculum to address students' suppositions	Development of a teaching and learning pedagogical model to teach the concepts of empathy and sympathy
Assessing student learning in context	Evaluation tools to assess learning in context

Table 3-1 Initial stages of developing a teaching and learning pedagogical model to explore the concepts of empathy and sympathy

Phase five involved the data analysis and interpretations (Cohen et al., 2011). Phase six set the criteria for the interpretation of the findings (Yin, 2009) and reporting the results (Cohen et al., 2011) was undertaken, with the potential for further research identified.

Cohen et al., (2011) proposed that when planning the research, the notion of 'fitness for purpose' (140) was essential - a view shared by Denscombe (2012), particularly when choosing the appropriate data collection tools. Therefore, at the end of each phase, critical reflection was undertaken to assess the effectiveness of the tools being utilised (Bassey, 1999; Yin, 2009), the data generated, and the research design as a whole, in order to make modifications and adjustments to ensure that the research aims were being met (Silverman, 2013) and it was fit for purpose.

Conceptual Framework

According to Smyth (2004), a conceptual framework is a set of broad ideas and principles that has been taken from relevant fields of enquiry, which, in this case, was applied theatre literature and multidisciplinary fields of study and particularly social work. According to Rocco and Plakhotnik (2009), the literature review plays an essential role in guiding the researcher to demonstrate a need for the research study. This was my experience. The literature review was utilised to develop the conceptual framework which was extensive and from applied theatre settings and multidisciplinary fields of study including medicine, psychiatric nursing, nursing, social work, psychology, psychotherapy, forensic psychiatry and psychology, cultural studies, literature and advertising. This required a common language to be developed that could be used as a reference point on which to structure the discussion and analysis (Mason and Waywood, 1996) like the indicators of empathy and sympathy outlined in Table 3-3 (page 106). Furthermore, the common language framework was utilised to describe, analyse and report the research findings and perceptions (Mason and Waywood, 1996; McGaghie, Bordage and Shea, 2001; Smyth, 2004). The conceptual framework provided a useful link between the literature and the research questions. Table 2-3 (page(s) 47-48) highlighted some of the definitional issues of empathy and sympathy from multidisciplinary fields which formed the basis of creating a common language. Therefore, I had to formulate my own operational definition for the key concepts, outlined in the Literature Review (page 46), in order to develop the conceptual framework and undertake the data analysis.

Within applied theatre literature it is widely acknowledged that the work of Stanislavski (1863-1938), Brecht (1898-1956), and Boal (1931-2009) (page 23) had a profound influence on theatre practice and theory worldwide in the twentieth century (Brian, 2005). This is outlined in detail in the Stanislavski, Brecht and Boal section (page 23). Stanislavski's and Boal's drama techniques were considered in the development of the research design (page 79), the conceptual framework (page 82), and data analysis (page 103). In addition, teaching and learning pedagogical models were considered. Specifically, these included models presented by Freire's Codification and De-codification model (1970), and Huitt (2004) Bloom et al.'s Taxonomy of the Cognitive

Domain model, (page(s) 66-67), and empathy models extrapolated from social work, including the work of Davis, (1990); Marshall (1995); Boler, (1997); Coulehan et al., (2001); Alligood, (2005); Gerdes et al., (2009; 2011; 2013); Preti et al., (2010), and Webster (2010), (commencing page 29).

Lessons learnt from the Pilot Study

The pilot research took place between July 2012 – February 2013 with seven academics in the field of applied theatre, the results of which helped shape the research design and legitimise the research. I wanted to explore to what extent the academics considered empathy and sympathy to be important in their own work with students and in their own applied theatre work. The research demonstrated some commonality with regards to the definitions of empathy and sympathy. However, how the concepts were utilised within applied theatre settings varied quite significantly. Sympathy received quite a negative response from the respondents, with the implication that it had little relevance in applied theatre settings, with more emphasis placed on empathy.

It also enabled me to consider the appropriateness of the data collection tool to ascertain the validity of utilising such tools (Yin, 2009) in the main research, which in this case was an E-interview. Whilst an E-interview (McMillan and Schumacher, 2006; Cohen et al., 2011) was piloted, it was decided not an appropriate tool to utilise in the main research because the students were in close proximity and I could organise time with them accordingly. However, what was learnt from the development of the E-interview was the value of utilising open-ended questions (Cohen et al., 2011) to enable respondents to project their own ways of defining the world. It was found that, whilst the same question was presented, it had different meanings for the different participants which provided opportunities for contrast and comparisons to be made. This proved to be useful because the comparisons between the different responses helped in judging the authenticity of the data (Haggarty et al., 2011). Furthermore, asking the participants the same question in the same order increased the comparability of responses when analysing the data (Cohen et al., 2011). Pre-determined categories had been tested in the E-interview and found to be successful

in the data analysis phase and thus utilised in the main research. The pre-determined categories, or priori themes, are outlined in the Data Analysis section (page 103).

I also undertook a focus group with six students to experiment with the data collection tool to ascertain whether it was an appropriate one to employ. This was a useful exercise because, as Cohen et al., (2011) suggests, it enabled the testing of technical matters associated with the data collection tools, like the layout and appearance, timings, length, threats, ease/difficulty, type of questions to use - including multiple choice and open-ended questions – and the generation of categories, groupings and classifications. For example, some technical issues were experienced in the focus group, such as the positioning of the camera, sound levels, having a back-up recording device and the layout and choice of room, which were addressed when conducting the main research. It also highlighted my lack of experience in facilitating a research focus group and adapting to the role of practitioner-researcher. There were times when it was quite challenging for me to distinguish between the role of practitioner-researcher and lecturer and remain focused on collecting data, rather than reverting into the role of educator, particularly when a participant demonstrated misunderstanding or made an ill-informed comment.

A purposive sampling approach was adopted (McMillan and Schumacher, 2001, 2006; Cohen et al., 2011) in both aspects of the pilot, which was very effective and generated good rich, thick, data and so was replicated in the main research.

The results of the pilot study provided some valuable lessons that were considered in the development of the main research.

Ethical considerations

Within applied theatre literature there is agreement regarding the importance of ethics to applied theatre practice (Thompson, 2003; Rifkin, 2010; Hare, 2010; Giesler, 2015). As an applied theatre practitioner and practitioner-researcher, I adhered to an ethical framework, which is outlined below. The ethical position of the applied theatre practitioner is crucial to the planning and implementation of all the applied theatre projects (Fisher, 2005) and the research I undertook. As previously outlined (page 3),

Thompson (2003: 20) suggested that as applied theatre practitioners 'we are only ever visitors within the disciplines into which we apply our theatre'. Therefore, the work ought to be informed by an ethics of practice that is responsive and responsible to the different contexts in which the work is carried out (Fisher, 2005). Neelands (2007: 307) proposes the following ethical approach to applied theatre work:

> 'Forms of theatrical and social interventions which aim to establish an 'ideal reciprocal relationship' between practitioners and participants through negotiation of representation and working towards equitable norms of mutual recognition.'

There needs to be an equitable balance of power between the practitioner and participants. According to Thornton (2012) the central considerations of power in participatory applied theatre are representation, voice and authorship. The power relationship between the facilitator and group is frequently discussed in applied theatre literature.

Within the literature, however, there appeared to be four common elements identified that ought to be included in an ethical framework: one) balance of power; two) setting of boundaries; three) empowerment of the client group, and four) creating a safe environment and trusting relationship between facilitator and client (Nicholson, 2005b; Shaughnessy, 2006; Neelands, 2007; Rifkin, 2010; Hare, 2010; Appleby, 2013; Bishop, 2014). Each of the common elements will now be discussed in relation to applied theatre practice and my own research.

Balance of power

A key issue within applied theatre practice is the balance of power and powerlessness of an audience in the theatre experience and is a central tenet to Boal's work (Hare, 2010). Appleby (2013) suggested that the power relationship is between those in power who have an ability to persuade, coax and influence those with lesser power. In my role as lecturer arguably these traits were required to help the student through their studies and to successfully achieve their degree by persuading, coaxing and influencing them. However, it was imperative that there was not an abuse of power when undertaking the role of practitioner-researcher with the students as participants in the research. The potential conflict of interest in the research was acknowledged

due to adopting a practitioner-researcher position. It was understood that throughout the research it was my responsibility to ensure good ethical practice during the research and in its dissemination. As such, whilst purposive sampling was employed, all participation in the research was on a voluntary basis. In addition, the data collection tools were either administered at the start of a teaching session that was being taught by a colleague or in times to suit the student. Furthermore, the second semi-structured interview and focus group was undertaken once their studies and final grades had been awarded, to address the balance of power issue. It was considered that the students chosen would be truthful in their responses and honest (Opie, 2004) and that I would believe what they told me because of my relationship as lecturer and researcher with them (Merriam et al., 2001). I did not want the students to just be participants in the research. I wanted it to be part of their learning experience and I intended the research activities they were involved in to be of benefit in their own development and understanding. According to Thompson and Schechner (2004) shared learning between the practitioner and participants requires mutual recognition and an equitable balance of power.

To protect the identity of the participants ethical clearance from the University's Ethics Committee was obtained prior to the research commencing (Bishop, 2014), which can be found in Appendix One. At the commencement of the project all participants were informed of the content; why their participation would provide an interesting perspective; how the data was to be utilised; to whom it would be reported, and that anonymity of the information would be maintained by assigning each participant a pseudonym that did not exist in the student cohort. Furthermore, a decision was made to use full transcripts in the data analysis and verbatim quotations to represent the data in a truthful manner.

According to Kerr (2009) a contract ought to exist between the practitioner and participant to protect the rights of the individual and to manage the power relationship and this was the case in the research I undertook. Participants were presented with an Information Letter for Consent to Participate in Research which can be found in Appendix two. This document outlined all aspects of the research including the potential benefits to students of participating, the procedure for

withdrawal from the research and how to contact me if any questions or concerns had arisen in the research. Furthermore, to manage the situation, appropriate safeguards were put in place such as adhering to the University Codes of Practice and teaching and learning policies. I also ensured that I adhered to rigorous evaluation processes after each data collection tool as part of the critical reflective practice.

Setting of boundaries

Boal (1992; 1995; 2006) suggested that there ought to be boundaries between the participant and facilitator, the audience and participants and their real lives, and the participant and practitioner-researcher. Furthermore, Shaughnessy (2006: 201) outlines that as there is 'a collaboration between the performer and spect-actor or client that is negotiated in a space between the real and not real. Participants are aware that the situations being played out, although live, are both real and not real.' The basic premise according to Schininà (2004) is that the practitioner remains at the service of the groups with whom s/he is working and does not use the participants for solely artistic or aesthetic purposes. Furthermore, the practitioner ought to consider in depth all the 'social, psychological, relational and theatrical implications of their interactions with the group and context' (Schininà, 2004: 23).

Bishop (2014) suggests that applied theatre research be bound by a Code of Conduct when working in applied theatre settings. However, this is also applicable to education research and therefore the research complied with elements of the British Education Research Association (BERA, 2011), Charter for Research Staff in Education (2013) and the HEI's Research Ethics Policy (2008; 2012). The Ethical Approval Form: Human Participants was submitted to the Ethics Committee for both the pilot study and research undertaken. The ethical approval form can be found in Appendix One. The approval form provides a brief description of the project, the theoretical background to the project, participant recruitment, informed consent, anonymity and confidentiality and the timeline of the research.

Empowerment of the group

The potential benefits of participating in the research were outlined in the Information Letter for Consent to Participate in Research, which included developing their own awareness of the concepts of empathy and sympathy that could then be utilised in their own practice. Participation in the activities to explore the concepts could help develop their own knowledge and understanding of the concepts. The data provided in the research could help develop a teaching and learning pedagogical model that they might find useful in their own practice. As outlined above, I wanted the participants to be more than just part of the research process and that the data collection tools would be of benefit to their own knowledge and understanding.

Creating a safe space and trusting relationships

Giesler (2015) outlines that it is important to create a safe space in applied theatre settings to ensure participants are not emotionally exploited. This is particularly pertinent for practical work undertaken in applied theatre. However, this is also true for the participants in the research I undertook. There was a level of trust that had been built over time with the students in my role as lecturer and I had shared experiences with them. I had a responsibility to the students and an interest in the relationship with them. The students had a level of trust in me as a lecturer to help them and guide them through their studies and to successfully complete the degree. As such, I built upon this trust in the hope that I would receive truthful responses in the research that would provide rich data. Of course, as Appleby (2013) acknowledges, there was also the possibility that I would receive negative data such as not being taught the concepts explicitly and what, if any, reflection this had on my professional career as a lecturer and would the student feel comfortable disclosing this?

It was important to create a supportive and nurturing relationship, an 'ethic of care' (Bishop, 2014: 71). The collaboration between the researcher and participant ought to be in a trustworthy and empowering manner. As such, wherever possible during the research I endeavoured to engage in collaborative decision-making with those being researched. For example, once the questionnaire had been administered time was given for discussion and debate about the questions and issues raised. Informal

discussions regarding the progress of the research and ideas from the participants were discussed after the interviews and focus group. The data collection tools prompted discussion with the participants in terms of where they were considering the concepts of empathy and sympathy in their own practice.

The research

The main research was conducted over a period of five months between March 2014 and July 2014, a snapshot, (Thomas, 2011) through detailed and in-depth data collection (Stake, 1995; Bassey, 1999; Yin, 2009; Newby, 2010; Cohen et al., 2011; Creswell, 2013), to generate emergent descriptions and themes (Stake, 1995). Adopting a case study methodology required employing a range of data collection tools (Yin, 2009; Newby, 2010; Creswell, 2013) and multiple sources of information, for example, interviews, documents and reports (Eisenhardt, 1989; Yin, 2009; Creswell, 2013). Yin (2009) proposed that the use of multiple sources of information was important to the authenticity and trustworthiness of the study; an opinion that is shared in the literature (Stake, 1995; Mohd Noor, 2008). Tellis (1997) also suggested that 'no single source has a complete advantage over the others; rather, they might be complementary' (8). The data collection tools employed complemented each other and addressed the needs of the research questions shown earlier on page 11. These included an analysis of programme documents, a questionnaire, two semi-structured interviews and a focus group. Each data collection tool is outlined below, in the order in which they were administered. Critical reflective and reflexive practice by the researcher was also undertaken and is considered in the Analytical Framework section (page 100). The names of each participant were logged for analysis purposes and anonymity assured when analysing and reporting the data.

Documents

The use of documentary evidence is relevant within almost every case study topic (Stake, 1995; Yin, 2009 and Creswell, 2013). The primary documents utilised in the main research were validated programme and module specifications and student handbooks, the extensive literature review and QAA DDP Benchmark Statements (2015), 'to corroborate and augment evidence from other sources' (Yin, 2009: 103).

The advantages of referring to documents were that they existed prior to the case study, and could be used repeatedly. The documents could be accessed at my own convenience (Creswell, 2013). The literature review helped develop the research design and conceptual framework, including the formulation of operational definitions of empathy and sympathy and indicators of each. These were subsequently employed in the data analysis. Programme documentation was analysed and referred to throughout the different phases of the research design, as was the QAA DDP Benchmark Statements (2015).

One disadvantage I encountered was my leaving the HEI to begin a new role elsewhere, before the research was complete. This meant access to documents – for example, programme documentation - was not as easily or readily available which required further planning. Fortunately, this was addressed and with the agreement of the HEI management I continued to have access to documentation that I required.

Questionnaire

I decided that a questionnaire was an appropriate tool to get an initial sense-check of what knowledge, experience and understanding the students had of the concepts of empathy and sympathy. The questionnaire was a simple and straightforward method (Robson, 2002) to ascertain the student's conceptual understanding of empathy and sympathy within applied theatre settings. Whilst it is acknowledged that it can be challenging to research what people know, it was envisaged that as a starting point a questionnaire would help me to identify the nature of knowledge students might have. This was in regard to the concepts of empathy and sympathy, in terms of whether it was tacit, explicit or academic knowledge and informed the subsequent data collection tools and data analysis. According to Elton (2010) tacit knowledge is commonly expressed through words. Initially, it was intended that the questionnaire would be administered to all drama students studying across the three years, (N=60), if they all volunteered to take part. The purpose being that comparisons and contrasts could be made across the whole programme of study. A questionnaire is a useful tool for collecting data from a large number of respondents (Wilkinson, 2000; Robson, 2002; Newby, 2009; Wiersma and Jurs, 2009) in a short period of time (Robson, 2002;

Newby, 2010). However, as the research progressed I decided that only third year students would be involved in the study. The total number of students was 24, with 14 completing the questionnaire. As stated previously, the rationale for this was that theoretically, having spent two years on the BA(Hons) programme of study, the selected third years would have more experience to draw on and be able to make more of a contribution to the study. The questions in the questionnaire are outlined in Appendix Four, and included open-ended questions with opportunities for the student to provide free text of their own knowledge and understanding of the concepts of empathy and sympathy.

Whilst the questionnaire was standardised (Robson, 2002) in terms of the questions posed, the hand-writing of the participants reduced the quality of the responses made, which was one of the limitations of the tool.

A further limitation was that, because the data was affected by the characteristics of the respondent, for example, their memory, knowledge, experience, motivation and personality (Robson, 2002) writing their responses appeared at times to be challenging. This was evident in some of the responses given in terms of the participant's knowledge and understanding of the concepts of empathy and sympathy. One student commented that if I had informed them of what the concepts of empathy and sympathy were then she would be able to complete the questionnaire. This demonstrated that she did not have either explicit or academic knowledge of the concepts and could be relying on tacit knowledge which can be difficult to articulate in written form (Van Krogh, Ichijo and Nonaka, 2000). Notwithstanding, Chugh (2013) suggests that questionnaires are an efficient data collection tool to help in the process of moving tacit knowledge to explicit knowledge that can then be shared in public domains. It was also an example of one of the challenges faced when adopting the role of practitioner-researcher as it was their understanding I was interested in as a researcher rather than as an educator. Further probing and clarification of questions would have been useful for some of the participants to help them understand what was being asked of them (Robson, 2002; Wiersma and Jurs, 2009). This only became evident during the data analysis phase which indicated that there had been some

ambiguity and misunderstanding of the questions posed and, as such, informed the questions posed in the semi-structured interview.

Semi-Structured interview

Semi-structured interviews were conducted with four, third year students both prior to the commencement of the Performance Project module and at the end of it. This is a project in an applied theatre setting of the students' own choice, with guidance from their lecturer, for a period of up to ten-weeks. Semi-structured interviews are often utilised in educational and applied theatre research (Hitchcock and Hughes, 1989; Hughes and Wilson, 2004; Jackson and Leahy, 2005; Newby, 2010 and Pitfield, 2011), and are a good tool for collecting rich data (Newby, 2010). All four of the participants had completed the questionnaire and as such the questions in interview one developed from those posed in the questionnaire to enable in-depth probing to take place. The questions were designed to reflect the research questions (Newby, 2010) stated previously on page 11, which can be found in Appendix Five. The first semi-structured interview was designed to discuss further what the participants' conceptualisation of the concepts of empathy and sympathy were and whether they could identify where on the course the concepts had been considered. The participants were aware of the scope of the research in terms of investigating the importance, if any, the concepts of empathy and sympathy had in the preparation of students to work in applied theatre settings, as they had completed the questionnaire prior to agreeing to participate in the interviews, in which an overview of the research had been given.

Interview two was designed to enable the participants to exemplify where on the course, by providing a practical experience, they had utilised or considered the concepts of empathy and sympathy. Furthermore, to review the teaching and learning pedagogical models that could be used to teach the concepts of empathy and sympathy and any specific drama techniques that could be employed to do so. In semi-structured interview two, an operational metaphor of empathy and sympathy was provided to aid the discussion (Appendix Five) because of the discomfort witnessed by some of the participants in interview one when asked to provide their own definitions.

There was more understanding of the concepts of empathy and sympathy in interview two when they were asked to provide practical examples, and this was evidenced in the length of the responses received. This could be attributed to the praxis of drama contributing to the understanding of empathy and sympathy by participating in practical drama techniques.

In both interviews I was able to adopt a flexible and adaptable format (Wiersma and Jurs, 2009), that allowed modifications to the line of enquiry to be made and to follow-up on any interesting responses (Robson, 2009). It meant that I had control over the format of the interview and could clarify any misunderstandings (Robson, 2002; Wiersma and Jurs, 2009; Newby, 2010). This was particularly useful when participants required clarification regarding some of the questions posed to enable them to continue with their response. This was particularly evident when the participants were asked to define empathy and sympathy in interview one.

Non-verbal cues could be read, which helped in the understanding of the verbal responses, sometimes resulting in revised meanings (Robson, 2002). For example, when one participant visibly appeared to be uncomfortable in her responses and needed encouragement to continue.

However, undertaking the interviews were quite time-consuming and took time to plan, prepare, execute and transcribe (Wiersma and Jurs, 2009; Newby, 2010). There were some inconsistencies across the interviews in terms of the duration of each and, whilst participants did not appear to become bored or tired (Wiersma and Jurs, 2009), some did display embarrassment and anxiety if unable to answer a question. The power relationship between the interviewer and participant and my role of practitioner-researcher had obviously contributed to this dynamic, even though I thought I had put in place appropriate safeguards, as outlined in the Ethical Considerations section (page 84), to alleviate this imbalance. Sometimes when a participant was unable to provide an answer, they tried to please by providing a response they thought they ought to give (Robson, 2002), so as not to offend my role as an educator. This was particularly evident in interview two when they were being

asked to identify any specific drama techniques that could be used to explore the concepts of empathy and sympathy and found it difficult to do so.

Focus group

A focus group, sometimes referred to as a group interview in educational research (Newby, 2010), was conducted to explore the individual views within a group of participants. The focus group, in this case third year students, enabled the participants from similar backgrounds to interact with each other so that their emergent views produced data (Creswell, 2013). It was considered an appropriate tool where different types of knowledge could be shared, particularly tacit knowledge through the social interaction of the focus group. A structured approach was adopted (Denzin and Lincoln, 2005) where five case study scenarios and a final conclusive question were posed, and ten minutes allocated to each. The scenarios are summarised in Appendix Six. The scenarios were developed utilising the components of social work as outlined on page 57, and modified to relate to applied theatre settings. The purpose of the scenarios was to provide triangulation with interview two responses and to generate data that exemplified the students understanding of the concepts when considering their own applied theatre work. The focus group was the final tool to be administered as it was anticipated that the students would be more confident in their contributions having completed the Performance Module, where each participant had undertaken a ten-week placement. This was evidenced by the quality of the responses given by the participants. The participants were able to refer to their own practical placements and provide examples of where the concepts of empathy and sympathy had been considered in their own applied theatre work. They began to identify where on the programme of study the concepts had been considered and the quality of the responses had significantly improved.

There were four participants in the focus group, including one who had completed the questionnaire and been involved in the two semi-structured interviews, and one that had taken part in the two semi-structured interviews. The four were known to each other as they were all third-year students and had experience of participating in group activities together on the BA(Hons) programme of study. The participants had been

purposively selected and as such, the dynamics in the group were good. Although, one participant was a bit reticent in sharing her views and, at times seemed confused and embarrassed in her responses, the group did try to help each other out if there were any misunderstandings. However, this participant contributed more in the focus group than in the first semi-structured interview where she appeared to be reluctant to be interviewed because she felt she had nothing to verbally contribute (Robson, 2002). The group appeared to enjoy the experience (Robson, 2002) and the debate was quite stimulating (Denzin and Lincoln, 2005) producing some rich data (Denzin and Lincoln, 2005; Newby, 2010). The participants made their own comments, using their own words, while being stimulated by thoughts and comments of others in the group (Robson, 2002). However, sometimes the question did challenge the participants, as it exposed their knowledge and understanding of the concepts of empathy and sympathy in applied theatre settings and I had to consider whether this was due to the knowledge being tacit, rather than explicit or academic knowledge, when analysing the data.

During the discussion there were times when it was dominated by one voice, which could have influenced the contributions made by the others (Robson, 2002; Denzin and Lincoln 2005). Fortunately, the views expressed were not extreme or biased and he seemed to be just trying to keep the momentum of the discussion flowing and had assumed a lead role. When the participants were dealing with sensitive issues, confidentiality was adhered to, particularly when referring to the client groups they had worked with.

It was acknowledged that the potential for interaction between the group and in-depth probing would not be realised (Newby, 2010), which is why semi-structured interviews were also undertaken to enable more in-depth probing to take place with individual participants.

Whilst Newby (2010) asserts the focus group in educational settings for research purposes has had limited use, it was concluded that the advantages of a focus group provided real potential to gather the necessary data to address the research questions.

Summary of data collection tools

By utilising the different data collection tools, the evidence generated was both a blend of both numerical and qualitative data. Within the literature there is an agreement that a case study can blend both numerical and qualitative data (Eisenhardt, 1989; Cohen et al., 2009; Newby, 2010). The phases of the research design were evaluated at various points (Yin, 1984; Bassey, 1999) throughout the research and, through reflective and reflexivity of the processes, modifications made. As a result, some data collection tools were excluded from the research design. Given that an interpretivist paradigm was adopted to explore student responses, it was decided that a practical workshop would not generate the desired evidence and therefore performance ethnography not employed. Denscombe (2012) suggested that the appropriate methods ought to be chosen to 'fit the purpose' (31) of the investigation.

Trustworthiness, authenticity and voice

Within the literature, there are many different perspectives regarding the importance of validity and reliability in case study (Creswell, 2013) and whether these terms are appropriate for qualitative research. Lincoln and Guba (1985) propose the term validity ought not to be used in qualitative research and suggest alternatives such as credibility, transferability or authenticity, be adopted. Furthermore, Guba and Lincoln (1994) outlined a framework that parallels validity and reliability and incorporates two sets of criteria - those of trustworthiness and authenticity - which resonated with the research undertaken.

Trustworthiness, according to Guba and Lincoln (1994), involves four indicators: one) credibility; two) transferability; three) dependability, and, four) confirmability. The four indicators were utilised in conjunction with four specific tests that Yin (2009) promotes. Instead of concerns of validity and reliability, Yin (2009) suggests four specific tests be applied, which has some consensus within empirical social research and is common to social science methods. The four tests considered were: one) construct validity; two) internal validity; three) external validity, and, four) reliability

(41). The following section considers the four tests proposed by Guba and Lincoln (1994), and Yin (2009), in relation to the research undertaken.

Construct validity was achieved by linking data collection questions and measures to the research questions (Rowley, 2002; Gibbert, Ruigrok and Wicki, 2008; Yin, 2009) and a 'chain of evidence' (Yin, 2009: 122) developed. This was utilised to increase the reliability of the information in the case study and outlined every step, from inception to the final conclusions. Multiple sources of evidence were used in the development of the data analysis (Yin, 2009) and data triangulation, through the use of the different data collection tools (Gibbert et al., 2008).

Internal validity corresponds with the trustworthiness criteria of credibility (Guba and Lincoln, 1994; Yin, 2009). The results of the qualitative research ought to be credible and believable from the perspective of the participant in the research (Guba and Lincoln, 1994) and represent the voice of the participants. This informed the decision to utilise authentic quotations from the questionnaire, semi-structured interviews and focus group to support the findings. The research design and conceptual framework were derived from the literature and theory triangulation through the use of different theoretical lenses and bodies of literature in the research design and data analysis (Gibbert et al., 2008) to establish credibility of the research (Lincoln and Guba, 1985). Yin (1994) agreed that theory triangulation enabled a researcher to verify the findings by adopting multiple perspectives. Denzin (1978) suggested that triangulation was the combination of data collection methods in one study of the same phenomenon. The research was in situ and based on the experiences of the students.

External validity, or generalisation, is replaced by transferability (Guba and Lincoln, 1994) where theories are required to account for the phenomena happening in the setting that is under investigation (Rowley, 2002; Gibbert et al., 2008; Yin, 2009). The research design was a single-embedded case study, and theory from the literature review considered to develop the conceptual framework and data analysis. The literature review was used to explain theoretical underpinnings of the research study and assisted in the formulation of the research questions (LeCompte et al., 1993). However, whilst it can be difficult to establish transferability, it can be achieved, to

some extent, by extensively and thoroughly describing the processes adopted for others to follow and replicate (Guba and Lincoln, 1994). Therefore, in the case study, ample details have been provided to allow the reader to appreciate the choices made (Cook and Campbell, 1979).

Reliability is substituted by dependability (Guba and Lincoln, 1994) and refers to the ability of the operations of the study to be replicated with the same results in other settings (Rowley, 2002; Gibbert et al., 2008; Yin, 2009). However, whilst this is not always appropriate in small scale case studies, an overview of how the case study was conducted (Gibbert et al., 2008) is outlined in the Research Design section (page 79). The intention here was to reduce the errors and biases in the study (Yin, 2009) rather than replicate it.

However, Bassey (1999) argued that external validity of case study research is of little importance because the research conducted is of interest to the researcher and intended audience and not chosen because it is a typical example. This raises the issue of bias. Creswell (2013) suggested that it is important to clarify researcher bias at the outset of the research to help the reader understand the researcher's position and any biases or assumptions that might impact the inquiry. The researcher's position is outlined in the Preface (page ix). Through the use of critical reflective and reflexive practice, the researcher bias was identified and clarified. Schon's (1991) reflective practice was utilised, as his work has become a central premise for professional development in education. By adopting the position of practitioner-researcher, it was acknowledged that overcoming the issue of bias (Mercer, 2007) was essential, particularly as the research was being conducted as part of normal professional practice. The participants and researcher could become too close to the situation, particularly when conducting data collection during a taught session, and this could adversely affect the validity of the results (Merriam et al., 2001, Coghlan, 2007, Gallais, 2008). One of the strategies adopted was to conduct the data collection at the start of a session, clearly distinguishing the role of researcher from that of lecturer. The semi-structured interviews were organised to suit the participants' schedules and completely separate from the teaching sessions. This was to try to ensure that the findings and recommendations were genuinely reflective of the research undertaken

and had not been influenced by the 'Halo Effect' (Cohen et al., 2011: 199). Cohen et al., (2011) asserted that the 'Halo Effect' (199) is where the information provided might be selective and where the researcher's knowledge of the person, or other data about the person or situation, wields influence on the judgements made in the analysis of the data.

Authenticity, asserts Savin-Baden and Howell Major (2013), is reality that is 'constructed intersubjectively through socially and experientially developed meanings' (470). Guba and Lincoln (1989) provide five criteria for authenticity: one) Fairness - does the research represent and honours the beliefs, values and understanding of all participants appropriately? two) Ontological authenticity - the extent to which involvement in the research helps participants experience the world; three) Educative authenticity - are the participants helped by the research to understand and appreciate how others see the world? four) Catalytic authenticity - does the research stimulate action or decision-making by participants? and, five) Tactical authenticity - the extent to which stakeholders and participants are empowered to act (250). However, elements of fairness, ontological authenticity and educative authenticity, provided more legitimacy for my own research due to the research taking place as part of normal professional practice, in situ, at my place of work. Furthermore, according to Cohen et al., (2011) the ontological authenticity of the research provided a more sophisticated understanding of the situation and generated educative authenticity by creating a new understanding.

Although the nature of the case study is to generate thick, rich narrative, a cautionary note is provided by Cousin (2005) that is worthy of consideration. Cousin suggested that when referring to case study reports, particularly within the literature in Higher Education, few are actually based in research and are simply narratives of practice rather than educational research. In some instances, this was evident in the case studies presented in Prendergast and Saxton's (2009) book *Applied Theatre International Case Studies and Challenges for Practice* where narratives of practice were outlined and the data collection methods utilised were not - for example, a case study written by Dukes TIE Company (1993). This provided a narrative of an example of a Theatre in Education (TIE) project that modelled the early development of the

genre in the 1960s and 1970s 'to reflect the interest in, and commitment to, socio-political issues' (34-39), yet did not outline how the data was collected and analysed.

However, whilst case study is largely descriptive in nature (Stake, 1995; Bassey, 1999; Yin, 2009; Cohen et al., 2011), this allows the reader to make their own decisions over the transferability of the research (Bassey, 1999 and Creswell, 2013). For this transferability, Creswell (2013) argued that, rather than reliability, it is the dependability of the results and accuracy of the findings that is important. Therefore, transferability rather than generalisation of the case study was the focus. Whilst Rowley (2002), suggests generalisation of case study is important so that it can contribute to theory generalisation itself is problematic. It is problematic because the very essence of case study research is that the situation under investigation is unique (Tellis, 1997; Cohen, et al., 2011; Thomas, 2011).

Analytical Framework

It was envisaged that the data collected in the case study would generate detailed descriptions of emergent themes within the case (Stake, 1995). Therefore, it was proposed in the initial stages, that the analytical framework for data analysis of the research would be content analysis, which then developed into theme analysis. Wilkinson (2000), suggested that content analysis is an examination or analysis of a communication. Furthermore, Krippendorp (2004), proposed texts can be defined as 'any written communicative materials which are intended to be read, interpreted and understood by people other than the analysts' (30). In this case five different types of communication were employed, a questionnaire, semi-structured interviews, a focus group, an analysis of documentation, and critical reflective and reflexive practice by the researcher. Wilkinson (2000) further asserted that content analysis helps to explore the participant's own ideas, beliefs and attitudes that relate to the subject matter. Content analysis is concerned with the analysis of written texts and is thus a method for analysing documents (Elo and Kyngäs, 2007). This is particularly pertinent because the written materials were the transcripts from the two semi-structured interviews, the focus group and extracts from the critical reflective and reflexive practice. Furthermore, Cohen et al., (2011), suggested that content analysis ought to

have a strict and systematic set of procedures for rigorous analysis and verification of the contents of written data. Further details of the utilisation of content analysis can be found in the Data Analysis section (page 103).

Theme analysis, according to Braun and Clarke (2006: 79), is 'a method for identifying, analysing and reporting patterns (themes) within the data'. Furthermore, theme analysis is an appropriate qualitative analytical method because it is compatible with the constructivist/interpretivist paradigm, as it can be applied across a range of theoretical and epistemological approaches (Braun and Clarke, 2006; Matthews and Ross, 2010). Vaismoradi et al., (2013), suggests that there are similarities between content analysis and theme analysis in that narrative materials are being examined from life stories that are broken down into smaller units of content and then subjecting them to descriptive treatment. Furthermore, according to Joffe and Yardley (2003), theme analysis provides the systematic element that is characteristic in content analysis and permits the researcher to combine analysis of their meaning with that particular context.

Critical reflective practice, and reflexivity of the processes undertaken, was employed throughout the research to acknowledge the role the researcher played in the setting and to identify any limitations of the research methods utilised (Lipp, 2007). This is one of the distinct features of studying an EdD – the adoption of the role of practitioner-researcher (Taylor and Hicks, 2009). According to Pilkington (2009), the practitioner-researcher has its roots in the work of Kurt Lewin who developed a cyclical process of diagnosing a situation, gathering data, planning to act, acting and then reflecting upon the action. Furthermore, Bartlett and Burton (2006), suggested that at the centre of practitioner-researcher is the commitment to studying one's own professional practice for the benefit of others. Holden and Smith (2009) developed this further and suggested it ought to produce new knowledge, which was the intention of my research. However, it was acknowledged that, to develop as a practitioner-researcher, I had to move beyond the notion of just being reflective and become reflexive. Providing a definition of what it means to be reflexive, just like empathy and sympathy, is a complex task, as it can be employed in different situations and in various ways (Lipp, 2007). Reflexivity, according to Lipp (2007), is a means of

generating knowledge from practice, which can then be articulated for use by others. Fox, Martin and Green (2007) suggested that reflexivity is about understanding how research is affected, in terms of the processes used and the outcomes, by the researchers' own position as a researcher. In effect, it refers to the dynamic between the observer and the observed.

Due to role duality of the practitioner-researcher - that of researcher and that of a professional - it had to be acknowledged that there was a power dynamic, as outlined in the Ethical Considerations section page 84, that needed to be considered when undertaking research at my place of work (Coghlan, 2007). This was of particular concern when working with the participants as they were students who viewed me as a lecturer and not a researcher. A concern clearly evidenced in the data. At times during the research this was problematic, and this is outlined in more detail in the Findings and Discussion chapter (page 112). For example, when administering the questionnaire at the start of a taught session, I introduced the activity as part of the research that I was undertaking and overheard one student exclaim, 'Well if she had told us what empathy and sympathy meant I would be able to answer the questions being asked!'

Working with students dictated when the research could be undertaken - the pilot study taking place during the academic year of 2012-13 and the main research in 2013-14.

Initially it was considered that a sample of the participants would be invited to complete critical reflective practice at different stages during the research. Reflective practice is intended to help the participant to think deeply about issues raised (Rarieya, 2005; Malthouse and Roffey-Barensen, 2013), such as the teaching and learning pedagogies, ability to define and distinguish between the concepts of empathy and sympathy and consideration of the relevance to their own work in applied theatre settings (Rarieya, 2005). Reflective diaries or journals can help participants to improve their own practice (Malthouse and Roffey-Barensen, 2013) including that of the researcher, as they provide a good tool for re-looking at existing practice (Rarieya, 2005. It was acknowledged that not everyone would be engaged in

the process due to other demands placed on the individual (Rarieya, 2005). Therefore, as the research progressed, it was decided that only the researcher would undertake critical reflective practice because of the demands placed on the participants who were third year students. It was also recognised that the balance of power between the researcher and participant could affect the quality and honesty of responses (Bury et al., 2006), as outlined in the Ethical Considerations section page 84. This is an important aspect of the reflective exercise whereby the learner analyses and makes meanings from their experience, rather than it being filtered, developed and shared by the researcher (Rarieya, 2005).

Data Analysis

The data analysis phase was planned to take place during March 2014 – November 2015. However, it was an on-going process until the final submission deadline. An interpretative approach to data analysis (Johnson and Christensen, 2012) was adopted due to the constructivism ontology (page 71) and interpretism epistemology position (page 73) employed. This seemed to be an appropriate approach because of the nature of the research questions, the data gathered and data analysis processes undertaken. Figure 3-1 (Johnson and Christensen, 2012) outlines an interpretative approach to research and indicates that at the heart of the processes is interpretation, which was adopted in the research undertaken. Furthermore, according to Miles et al., (2014: 12), qualitative data analysis is a continuous iterative process that consists of three concurrent flows of activity: one) data condensation; two) data display, and, three) conclusion drawing and verification. The data was collected through different tools as outlined in an earlier section (commencing page 89). Initially, each data collection tool was analysed independently, utilising different processes for the questionnaire data, interview one, interview two and focus group. By undertaking the different processes, it helped me to 'make sense of the data' by 'becoming immersed in the data' (Elo and Kyngäs, 2007: 109). Throughout the process, I was constantly making comparisons (Taylor and Gibbs, 2010) and contrasts, and interpreting the analyses from the questionnaire, interview one, interview two and focus group.
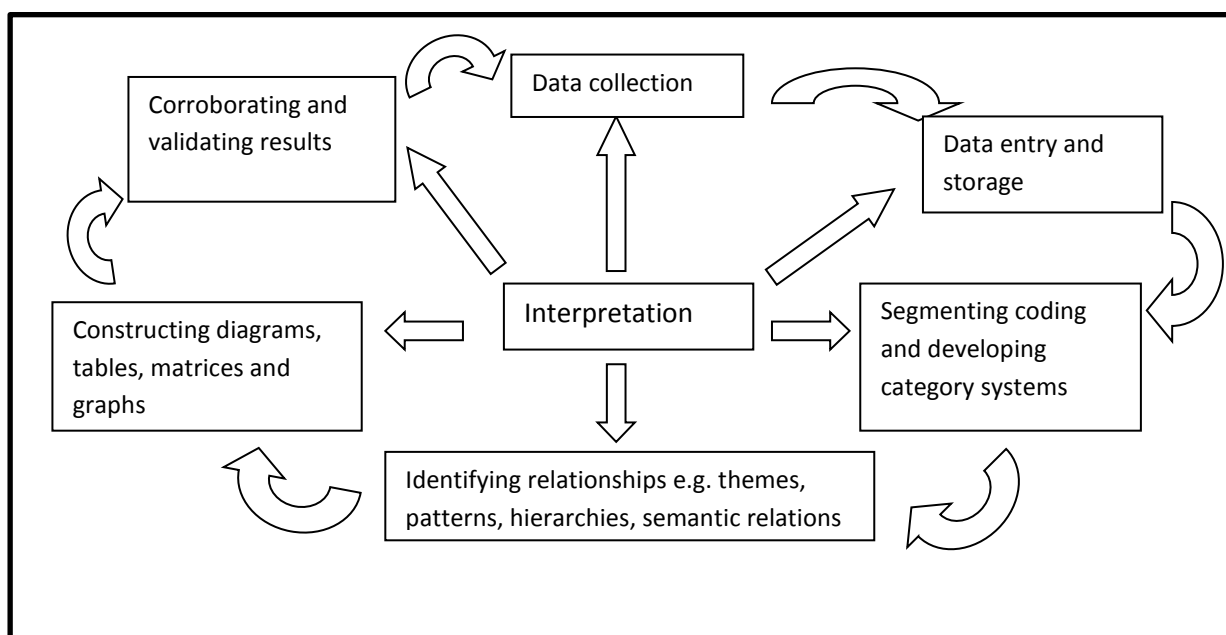
Figure 3.1 An interpretive approach to research model - adapted from Johnson and Christensen's (2012)

Furthermore, within the literature it was suggested that the qualitative analysis ought to be well documented as a process. Therefore, a summary of the data analysis processes of the research is outlined in Table 3-2 (page 105).

A constructivist/interpretist ontological approach (Mertens, 2009; Opie, 2004; Denzin and Lincoln, 2005; Arthur et al., 2012; Savin-Baden and Howell Major, 2013) was undertaken to develop the research design which advocates an inductive data analysis method. It was decided that a combined approach of inductive and deductive analysis (Miles, et al., 2014) would be undertaken, as there are limitations of adopting just one method over the other. According to Miles et al., (2014), the deductive approach involved identifying broad priori codes which was utilised in both the pilot study and main research. The broad priori codes addressed the research questions and originated from the literature review. The priori codes included: one) Definitions and or describing the concepts of empathy and sympathy; two) Distinguishing between the concepts of empathy and sympathy, and, three) Intersections between social work and student practitioner.

Stage	Questionnaire	Interview One, Interview Two and Focus group
One	Initial data condensing to become familiar with data and identify emergent themes. A wallpaper exercise was utilised. Tables created for responses to each question. Keyword Compilation Table developed.	Transcription of data verbatim. Transcripts read through and initial memos and notes made.
Two	Data condensing utilising Pre-determined categories of Empathy and sympathy and a category of 'Confusion'.	Data cleansing. Identified data that was unusable or irrelevant and then colour coded.
Three	Data condensing utilising Pre-Determined Questionnaire Questions to identify emergent themes. Data compared with data from the wallpaper exercise to identify 'central theme'.	Data reduction sections of data identified as broadly similar and allocated a code. Clusters of broadly similar codes identified and allocated a broad theme code. Utilisation of aspects of 'Matrix' analysis to create 'Theme Tables'.
Four	Hierarchy Theme Tree created. 'Classification Theme Tree' developed and data interpretation undertaken.	Hierarchy Theme Tree created. 'Classification Theme Tree' developed and data interpretation undertaken.
Five	Identification of common Key Central Themes between Questionnaire, Interview One, Interview Two and Focus group. Hierarchy Theme Tree and Classification Theme Tree created of the common Key Central Themes.	
Six	Data representation and 'Telling the story'.	

Table 3-2 Data analysis process of Questionnaire, Interview One, Interview Two and Focus group

The inductive analysis identified the emergent sub-themes in the data. A critical approach to the data was employed to avoid 'anecodolism' (Sliverman, 2010: 276), whereby well-chosen examples were selected to illustrate the reality that the researcher wanted to construct (Amos, 2014). However, it is acknowledged that the words chosen to analyse text would be framed by the researcher's own implicit concepts and, as such, could never truly be objective (Miles et al., 2014). For example, the definitions of empathy and sympathy that were developed (page 46) and referred to as part of the analysis. It is also unavoidable that the analysis would be influenced by the researcher's own personal values, attitudes and beliefs and reading undertaken in the literature review. This is why critical reflective and reflexive practice was

undertaken. In addition, the quotations used to support the findings were authentic and verbatim.

In the early stages of the analysis of the questionnaire, a Keyword Compilation Table was developed (Appendix Seven) to help in the codification of the material with the intention of drawing findings from the key words (Carlsen et al., 2007). The Keyword Compilation Table was based upon descriptor words such as verbs, adjectives, and adverbs in relation to the research questions. The main purpose of this exercise was to help familiarise myself with the data and start identifying any patterns/themes of interest, such as the first appearance of the use of metaphor to describe empathy and sympathy, which became a sub-theme in the analysis process. Key phrases and words began to emerge which were further identified in the data analysis and contributed to the development of the Indicators of Empathy and Sympathy outlined in Table 3-3.

Empathy – The Other	Sympathy – The Self
'I am not you' (Boler, 1997: 256)	'That could be me' (Boler, 1997: 256)
Identify with	Same same/similar feeling or experience
Sensing others	Feeling for someone else
Feelings and perspectives	Feeling sorry for somebody
Imagine	Shared feelings
Sensitive to others' perspectives	Capacity to apprehend pain suffering or signs
Understanding others' perspectives	of negative emotions
Reflective of own feelings and emotions	
Acknowledge experience of others	

Table 3-3 Indicators of empathy and sympathy

This was utilised to analyse the data, such as, 'same/similar experience', 'understand the client', 'relate to the client', and 'personal experience'. The table also helped identify the emergence of confusion between the concepts of empathy and sympathy displayed by the respondents, as outlined in the Findings and Discussion (commencing page 112).

Initially, content analysis was adopted, whereby the words contained within the questionnaire, two semi-structured interviews and focus group, were classified into

smaller content analysis sections (Elo and Kyngäs, 2007). In the early stages of the analysis of semi-structured interview one, semi-structured interview two and focus group, the occurrences of particular words and phrases found within the text was undertaken. This was to identify any findings of interest, for example, use of the word 'professional and professionalism', 'passion and passionate' and 'help them'. As it transpired, 'help them' emerged as a sub-theme. A suitable unit of analysis proposed by Graneheim and Lundman (2004), is the whole interview, therefore, in the first instance, interview one, interview two and the focus group, were transcribed and analysed in full. However, as Elo and Kyngäs (2007) suggested, a unit of meaning could also consist of one or more sentences that contain several meanings which became evident in the analysis. An inductive content analysis process was employed because, throughout the process notes, headings and codes were written in the text whilst reading the transcripts (Elo and Kyngäs, 2007). Therefore, by transcribing the whole interviews, I was able to immerse myself in the data (Pope, Ziebland and Mays, 2000; Elo and Kyngäs, 2007).

According to a number of authors within the literature (Kawulich, 2004; Elo and Kyngäs, 2007; Miles et al., 2014) the first stage of successful content analysis is to read the written material on several occasions and to generate as many headings as necessary. However, Elo and Kyngäs (2007), acknowledge that the most difficult aspect of content analysis is 'the getting started' (113), to which I can certainly attest! Trying to formulate the categories from the questionnaire often felt chaotic and daunting, so time was spent reading and re-reading the text or re-writing it into different tables to fully familiarise myself with the text. One particular example of this was the analysis of question seven in the questionnaire, as the statements provided by the respondents appeared to be disparate and, seemingly, unconnected pieces of information (Backman and Kyngäs, 1999). However, a useful piece of advice offered by Elo and Kyngäs (2007), was that, in the midst of the chaos of reading the transcripts, to keep referring back to the research question in order to remain focused. Furthermore, Kyngäs and Vanhanen (1999) suggested that the researcher needed to analyse and simplify data and form categories that reflected the subject of study in a reliable

manner. At every stage of the research, the research processes were interpreted (Johnson and Christensen, 2012) and evaluated.

Therefore, as the analysis developed, it became apparent that themes were emerging which resulted in a decision to employ thematic analysis. It was decided to follow the theme(s) across each of the data collection tools, rather than analyse each individual one (Taylor and Gibbs, 2010) as a discrete case. The reason for this was that I became interested in the emergent sub-themes that respondents had identified, rather than each individual's understanding and contribution. Also, as only one respondent had participated in each stage of the research, it meant comparisons between individual contributions would be meaningless. According to Strauss and Corbin (1990); Ryan and Bernard (2003); Taylor and Gibbs (2010), and Kawulich (2004), for constant comparison of themes to be undertaken the identified range of themes needed to be subjected to the process of cutting and sorting. The questionnaire, interview one, interview two and focus group, were photocopied on different coloured paper to identify the data collection tool being analysed. The originals were stored in a safe place and unaltered. The photocopies were utilised for the analysis and involved cutting extracts from the original text. Each question on the questionnaire was allocated a unique code so that, if re-assembly was required, it could be easily done, and the traditional technique of cutting up transcripts and collecting all those coded in the same way, putting into piles and then into envelopes was employed. The scraps of paper were then laid out, utilising a long table approach (Kruegar and Casey, 2000), using strips of wallpaper then re-read together to identify any common themes. This, these authors propose, is an essential part of the process of analysis. However, this process was modified for the interview one, interview two and focus group transcripts, where a cut and paste exercise (Kruegar and Casey, 2000) was undertaken to create Theme Tables (Taylor and Gibbs, 2010) (Appendix Eight). The Theme Tables (Appendix Eight) helped with the management of many of the statements made by respondents relating to several possible themes. The Theme Tables enabled multiple coding to take place and was based on elements of Matrix analysis (Miles et al., 2014). Matrix analysis, according to Miles et al., (2014), is an intersection between two lists, which, in this case, were the emergent themes. The Theme Tables allowed the information to

be scanned 'to see what jumps out' (Miles et al., 2014: 117). Grouping the statements helped identify any patterns and themes, make comparisons and contrasts, and develop clusters of themes. The emergent themes from the questionnaire were then added to the appropriate Theme Table to provide a fuller picture across the data analysis. Once this approach had been adopted, the analysis began to take shape and new key themes were identified. For example, empathy and sympathy in action was a key theme however, new sub-themes were identified within it and included: one) Examples of empathy and sympathy; two) Evidence of understanding, and, three) Application of concepts. New sub-themes were also identified from other key themes: one) Metaphor; two) Use of indicators of empathy and sympathy; three) Can the respondents, do it? four) Confusion and misunderstanding of the concepts of empathy and sympathy; five) Client-facilitator relationship; six) Choice of activities, and, seven) Affective Sharing, Self-awareness, Perspective Taking and Emotional Regulation. The findings of these sub-themes are discussed in the next chapter. The Theme Tables provided an insight and were utilised to structure the results which are outlined in the Findings and Discussion chapter (commencing page 112). The priori themes, new key theme and sub-themes were then refined into a Hierarchy Theme Tree (Taylor and Gibbs 2010), as outlined in Table 3-4.

Key Theme	Sub-theme
1.0. Definition and description of empathy and sympathy	1.1. Metaphor 1.2. Use of indicators of empathy and sympathy

2.0. Distinguishing between empathy and sympathy	2.1. Important or not?
	    2.1.1. Client-facilitator relationship
	    2.1.2. Choice of Activities
	2.2. Can the respondents do it?
	2.3. Confusion and misunderstanding of the concepts
	2.4. Consequences

3.0. Intersection between social worker and student practitioner	3.1. Perspective Taking 3.2. Emotional Regulation 3.3. Affective Sharing and Self-other awareness 3.4. 'Helping them'
4.0. Empathy and sympathy in action	4.1. Examples 4.2. Evidence of understanding 4.3. Application of concepts

Table 3-4 Hierarchy Theme Tree

Upon completion of the Hierarchy Theme Tree each key theme was developed into a Classification Tree (Taylor and Gibbs, 2010), an example of which is outlined in Figure 3-2, for the 'Defining and Describing Empathy and Sympathy' key theme. The Classification Tree helped to provide an order to the data findings.
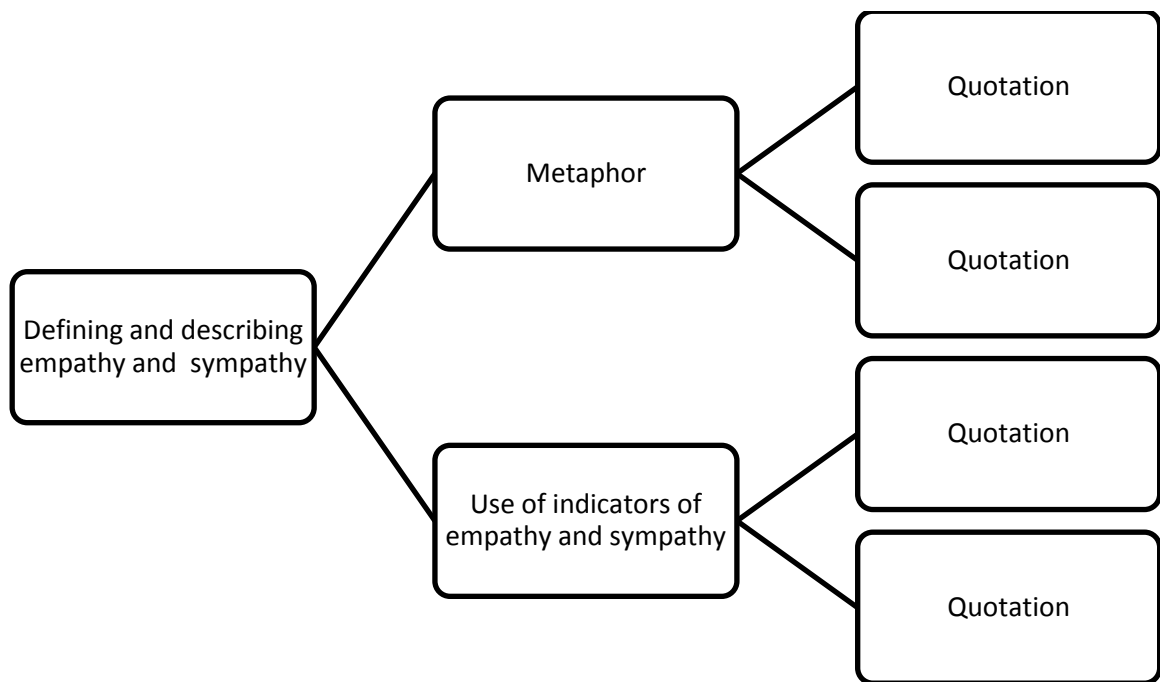
Figure 3-2 Classification Tree – Defining and describing empathy and sympathy

The Hierarchy Theme Tree and Classification Tree were then utilised as the basis of the data   representation   phase.

Chapter 4.   Findings and Discussion

Introduction

The findings are presented in two sections in order to address the two research questions.

Findings for research question one

> As part of the preparation of students to work in applied theatre settings what importance, if any, are the concepts of empathy and sympathy?

To ascertain what the conceptual understanding of the students, in terms of their knowledge and understanding of the concepts of empathy and sympathy, the participants were asked a range of questions in the questionnaire, interview one, interview two and focus group. The questions are outlined in Appendix Four, Five and Six. The personal metaphors (page 33), and definitions of empathy and sympathy (page 46), were utilised as part of the data analysis to make comparisons and contrasts of the interpretations made by the respondents. The quotations selected to support the findings are authentic, taken from the questionnaire, interview one, interview two and the focus group. The names are fictitious to ensure anonymity and the names chosen were not representative of the student cohort to ensure that each participant could not be recognised. However, names were chosen that maintained the gender identity of each participant. This was a personal preference as I wanted the narrative to be more personalised when reading the findings, rather than allocating a number to identify each one. Through the data analysis process the following key themes were identified: one) Definition and description of empathy and sympathy; two) Distinguishing between empathy and sympathy; three) Intersection between social worker and student practitioner, and, four) Empathy and sympathy in action.

Definition and description of empathy and sympathy

A number of questions were posed that required the participants to provide a definition or to describe the concepts of empathy and sympathy. Providing definitions for empathy and sympathy, as outlined in the Literature Review chapter, can be

difficult as the terms are often used interchangeably (Davis, 1990), incorrectly or conflated (Gunkle, 1963), misused and a range of divergent and conflicting definitions stated (Coplan, 2011; Cooper, 2011). This was confirmed by the data analysis. Furthermore, Stepien and Baernstein (2006) highlighted the complexities of defining empathy and sympathy due to the range of differing positions. This also became evident in the analysis. Unsurprisingly the majority of the participants found it difficult to provide a definition for either empathy or sympathy and Cheryl was the only participant to state:

> It is very difficult to define empathy and sympathy each person has a different interpretation of what it is.

Furthermore, respondents demonstrated confusion and misunderstanding over providing a definition or description of the concepts in comparison to the following definition that I had developed:

> Sympathy: where there is a strong sense of 'self' and identification of a shared same or similar experience with the 'other' and views the experience from his/her own point of view. Empathy: where the perspective of the 'other' is imagined by the 'self' and consideration of the experience is from the 'other's point of view.'

However, two key themes were identified from the analysis: one) Use of metaphor, and, two) Indicators of empathy and sympathy.

Use of metaphor

Metaphors are utilised frequently in the literature to describe, predominantly, empathy (Gunkle, 1963; Boler, 1997; Day, 2002; Gair, 2008; Sobel, 2008), it was therefore, anticipated that a number of the respondents would also do so and, as such, identified as a priori theme. However, a limited number of the respondents provided a metaphor for empathy (n=3) and sympathy (n=3). Cheryl, Moira and Julia adopted the common metaphor of 'putting yourself in somebody else's shoes', to describe empathy:

> Empathy goes back to the notion of putting yourself in somebody else's shoes. So being able to imagine directly what somebody else may be feeling or thinking in relation to a given subject or topic or event that occurs… (Cheryl)

> I think empathy is where you are with another person and you can put yourself in their shoes and you can imagine how they must be thinking… (Moira)

> Empathy is where you try to put yourself into the shoes of someone else… (Julia)

Rita and Erica also utilised the metaphor for empathy of 'putting yourself in that other person's shoes', only both had provided this as a definition for sympathy, thereby evidencing confusion over the concepts:

> Being able to put yourself in that other person's shoes. (Rita)

> Being able to put yourself into other people's shoes but you've not actually experience (sic) it. (Erica)

Gina, Gwen and Barry provided new insight into employing a metaphor to describe sympathy which was an unexpected finding - that of being 'too close to home':

> …Theatre in Education…my group performed a homophobia piece in a prison the issues were quite close to home. (Gina)

> …if it is too close to home think about saying, "I can't do this". (Gwen)

> …if you are dealing with a subject which is like (sic), very close to home, this isn't good for you…(Barry)

Cheryl provided a metaphor for sympathy only it was a reversed interpretation of an empathy metaphor:

> I think sympathy is when you can't directly think about being in their shoes.

This was an example of the challenge of undertaking a practitioner-researcher position because, as an educator, I would have discussed with her the confusion over the concepts to help her in her understanding and responses. However, in this context this would not have been appropriate, as the purpose was to elicit the respondent's own understanding.

Throughout the data analysis process these were the only incidents of metaphors, which was quite surprising as I had made an assumption that students would be quite familiar with using a metaphor, particularly to describe empathy. This was primarily based upon my experience of the metaphor 'stepping into the shoes of another', being

used in a range of drama techniques that the students had experienced during their programme of study, such as Heathcote (page 5 & 22). Furthermore, it began to emerge that some respondents demonstrated confusion over the concepts when providing a description or definition of empathy and sympathy, which is discussed later in this chapter.

Indicators of empathy and sympathy

When the participants were asked to describe empathy and sympathy a number of the respondents were identified as utilising 'indicators of empathy and sympathy'. The 'Indicators of empathy and sympathy' that were developed can be seen in Table 3-3 (page 106). These were particularly evident when respondents described sympathy:

> I think sympathy is…that kind of feeling sorry for somebody…but you sympathise for them because you feel bad but don't want to be in that situation…(Cheryl)
>
> Where you feel sorry for the character. (Kylie)
>
> If they have dementia, for example, you're going to feel a bit sorry for them, otherwise you wouldn't be doing it…(Gwen)

The common indicators for sympathy here are 'feeling sorry' for another and 'feeling bad' for someone. The final response here indicates a positive effect of utilising sympathy whilst working with a client-group and a motivation to work with them by utilising the sympathy indicator of 'feel a bit sorry for them'.

The following responses also utilised indicators for sympathy. The first respondent, Moira, refers to a 'shared or similar' experience to describe sympathy whereas the second, Gwen, alludes to a 'shared experience':

> Sympathy, I think is that it has happened to you and I can say I sympathise with that because this happened to me which is similar. (Moira)
>
> If a member of the group is ill, injured or struggling with a responsibility, I can have sympathy. (Gwen)

However, Erica and Barry applied indicators of sympathy to describe empathy as that of 'something same/similar' (Erica), and of 'having shared the same experience as the participant' (Barry), highlighting the confusion some respondents had over defining

the concepts. Furthermore, the following statements, made by Lynn and Barry, were provided to describe sympathy, which further demonstrated misunderstanding of the concepts, because empathy indicators were being referred to:

> If you have not experienced these aspects / situations but still have considered the thoughts and feelings of the other individual (sic). (Lynn)

> Understanding how a participant feels. (Barry)

The empathy indicators utilised here to describe sympathy are, 'acknowledge the experience of others' and 'understanding others' perspectives.'

The following extract is from the focus group discussion and further illustrates the utilisation of indicators of empathy and sympathy by respondents:

> Gwen: Like if you're working with a prison group and you've been to prison what would you do?

> Julia: I suppose talking about your past experience, if they are willing to sit and hear it.

> Gwen: Because I'd probably relate to you more if you're…

> Julia: If you've been rehabilitated. And it worked!

> Gwen: And they can see that you've achieved and I want to be like you.

Here, Julia is attempting to adopt an empathetic stance by 'imagining herself in the shoes of another person', with the recognition that the person she is imagining would assume a sympathetic stance.

Distinguishing between the concepts of empathy and sympathy

Within the literature from multi-disciplinary fields, a common theme is that distinguishing between empathy and sympathy is very difficult, as the terms are often used interchangeably (Davis, 1990), incorrectly or conflated (Gunkle, 1963) or misused. The same Indicators of empathy and sympathy, such as identification and understanding the feelings of others, were also found in the literature to describe both concepts which further compounded the issue of providing a definition. Therefore, the distinguishing between the concepts of empathy and sympathy was a priori theme, with the sub-themes of: one) Can the respondents, do it? two) Important or not?

three) Confusion and misunderstanding between the concepts of empathy and sympathy, and, four) Consequences.

Can the respondents, do it?

There was a 43% agreement to question five in the Questionnaire, where respondents stated that they had 'good' ability to distinguish between the concepts of empathy and sympathy, with seven percent suggesting it was 'fairly easy' and seven percent stating 'easy.' However, Kylie, who had identified it as being 'easy' to distinguish between empathy and sympathy stated:

> Empathy is where you have been in the same position yourself and you can feel it whereas sympathy is where you haven't been there yourself and can provide comfort.'

Here, Kylie is confusing the concepts which are demonstrated by the indicators of empathy and sympathy utilised to describe the concepts. Kylie utilises the phrases 'same position' and, 'you can feel it' to describe empathy which had been identified as indicators of sympathy. Also, 'provide comfort' was identified as an indicator of sympathy. This quotation has been included in this section because it highlights that, whilst Kylie identified it as 'easy' to distinguish between empathy and sympathy, the concepts have actually been confused demonstrating it was not 'easy' for her to differentiate between the two.

Nevertheless, 29% indicated that it was 'fairly difficult' and 14% 'difficult' to distinguish between empathy and sympathy. Carol stated:

> I sometimes find it difficult to differentiate the difference between empathy and sympathy.

Furthermore, she concluded:

> It is hard to differentiate between the two. I personally think there is a fine line between the two.

Within the literature review there is evidence to support this observation, particularly in relation to providing a definition, as the concepts are often conflated (Cunningham, 2009; Bohlin, 2009; Gerdes, 2011), or as Stepien and Baernstein (2006) propose, sympathy being the emotional component of empathy.

Barry concluded that he 'had no real understanding of the differences' and Cheryl, Linda and Moira found it 'quite difficult' to distinguish between the concepts of empathy and sympathy, with Cheryl stating:

> I think it is quite difficult. I think a lot of people think they empathise with people when actually they sympathise with people, because it is difficult to say that you know exactly how someone feels, if at all, because I definitely don't know what it is like to be in your shoes because everybody will be affected by different things differently…

This resonated with Gair (2008), who stated that you cannot always step into the shoes of another or 'walk a mile in the shoes of another' (27). Furthermore, Coulehan et al., (2001), questions whether it is possible to express empathy for people whose background and life experiences are totally different to their own. A view shared by Danziger et al., (2009), who questioned whether an emotion could actually be shared if a person has never experienced it themselves. However, this argument is disputed by Preti et al., (2010), who asserted that the experience of empathy does not require experiencing the corresponding emotion - merely an appropriate one. Arguably, this is where empathy comes into its own, because it allows the participant to imagine what it is like to be in the 'others shoes' and utilise it when working with people who are different from themselves and have different backgrounds (Gerdes, 2011). Furthermore, Gerdes suggests that adopting an empathetic approach is more energising and can be utilised to help the client solve their own problems.

One of the reasons why the respondents may have found it difficult to distinguish between the concepts of empathy and sympathy, was the fact that providing a definition was difficult for them. This was particularly evidenced in the interviews where participants struggled to provide a definition and could have been the reason why they were unable to distinguish between empathy and sympathy until clarification had been received.

Important or not!

In regard to how important it was to be able to distinguish between empathy and sympathy when working in applied theatre settings, 14% of the respondents to question nine on the questionnaire thought it was 'moderately important'. However,

eight percent of the questionnaire respondents thought it was 'important' or 'very important'. The respondents in interview one was split 50/50, considering it was either 'quite important' or 'important'. Two main reasons were provided to explain why it was important to be able to distinguish between empathy and sympathy - firstly, the client-facilitator relationship, and, secondly, the choice of activities. The following section explores each in a little more detail.

The client-facilitator relationship

Cheryl provided quite a detailed explanation of why she considered it was important to be able to distinguish between empathy and sympathy when working in an applied theatre setting. The following is an extract of her response:

> I believe it is important because if you can't understand your client group then you've got no chance of working effectively with them…If you can't sympathise or empathise or understand that client group then you could go at it and either not challenge them enough, so that they can't fulfil their themselves (sic) in the project or you can hit them with such a topic that they have negative effects and that can affect them long after your gone as well… I think if you can empathise with them you have more of a deeper understanding of them and how your work can affect them, both positively and negatively. I think if you are working with people you need it…

Here, Cheryl is considering both the positive and negative effects it could have on the client group if the concepts of empathy and sympathy could not be distinguished. This is an argument supported by Gerdes (2011), who suggested that how practitioners notice and distinguish between their own experience of empathy and sympathy is a first step towards optimising the client-worker relationship. Cheryl identifies the importance of understanding the client group in order to work effectively with them. That empathy can help develop a deeper understanding of the client group and how the work can affect them both negatively and positively. Furthermore, Cheryl is acknowledging that, at the heart of the work undertaken in applied theatre, is 'working with other people', which requires an effective client-facilitator relationship. This was further evidenced by the following response made by Barry:

> I think they have an importance because at the end of the day what we are doing in applied theatre in drama is a social science, we are working with other people so we need to be able to connect with other people so that we can kind

of know whether we are helping, knowing what the situation is, how we can help. So, it is definitely important, because you are working with other people.

Interestingly, this particular response is also an example of how the respondent is starting to make a connection between the work undertaken in social work and that in applied theatre, which is discussed in a later section (page 125).

Furthermore, Moira also suggested that it was important to be able to distinguish between the concepts of empathy and sympathy 'when working with people' and introduced the notion that it was important so that you could 'use them in some way to help the activities that you are running.'

Choice of activities

Gerdes (2011) proposed that it was important for practitioners to be able to remember that empathy and sympathy are qualitatively different experiences and, as such, would have distinct therapeutic implications. Now, whilst the activities utilised by students in applied theatre settings would not be strictly therapeutic - as this would be dramatherapy - there are distinctive implications for the types of drama technique that the student could employ. The interview respondents evidenced an appreciation of how distinguishing between the concepts of empathy and sympathy might impact upon their choice of activities used with client groups in applied theatre settings, which could then affect the client-facilitator relationship. Barry provided an example of why a specific drama activity would not have been appropriate to the client group he was working with:

> …the techniques of kind of (sic) Stanislavski and stuff or Method Acting, kind of wouldn't work because there was no way that these characters or that these characters (sic) could relate too much to the participants in the group…

Here, Barry is acknowledging that, in order for the participants to engage in Stanislavski techniques such as Method Acting, the participants would need to be able to relate to the characters, which they were unable to do. However, Barry is demonstrating an awareness of empathy, only in an implicit manner, by referring to indicators of empathy, only confused in how the technique could work with this client group.

To further exemplify this, Cheryl provided quite a detailed response:

> …a lot of the activities that we chose to work through as a group, because everything was chosen by them, so that they felt comfortable in what we were doing, and it was something that engaged them (sic). A lot of the activities we were doing had some quite sensitive subjects and topics in them. So, with everything you either empathise or sympathise, with each of these topics because they all were personal to either the person in the room, or their family, or their friends, because a lot of the discussion that we had and activities were based on real-life situations that they had experienced themselves.

Here, Cheryl outlines the sensitive nature of the subjects and topics contained within the activities undertaken and show that each of these topics was located within either empathy or sympathy. It was sensitive in nature because the activities were based on real-life situations that they had experienced themselves or had family and friends who had.

Confusion and misunderstanding between empathy and sympathy

It became quite evident throughout the analysis of the data collection tools, that a number of the respondents evidenced confusion between empathy and sympathy, in that the terms were confused, being used interchangeably, or demonstrating a misunderstanding of the concepts. Linda stated:

> Oh no, I get them mixed up…I'm struggling…You know what I'm not actually too sure, because one's I think one is like you feel the same and the other is you feel something else. Only I don't know which is which.

This was another example of where the relationship between the role of practitioner-researcher and educator proved to be challenging because Linda was really struggling with her response and looking to me to provide her with a prompt or explanation to help her. Yet the purpose of the question was to elicit what her interpretation of the concepts was, which confused her and ultimately affected her confidence in the interview.

In some instances, indicators of empathy and sympathy were being utilised to describe the concepts, only in a reversed fashion. For example, Cheryl stated:

So, I think you can always sympathise with something but you can't necessarily always make that kinda (sic) how you feel and often some people think, 'Well I do know how you feel and I can empathise with you' and actually they haven't got a clue and they are only sympathising.

Here, Cheryl associates 'knowing how someone feels' with empathy and 'not knowing how someone feels with sympathy', which are contrary to the indicators of empathy and sympathy developed. Here is another instance where the role of practitioner-researcher was challenging because, as an educator, I wanted to discuss her response and provide clarification, which was not appropriate as I was in the role of researcher. However, in the role of educator, providing clarification would be normal practice to help Cheryl to develop her knowledge and understanding.

Gwen also confused the concepts and utilised contrary indicators of empathy and sympathy:

Sympathy they might not appreciate that you haven't been through…they might be like you don't know what I'm going through…But empathy where they have been through it they might relate to you…

Gerdes (2011) provided an opposite viewpoint in that empathy is a useful technique to adopt with people that you have not had a similar experience with. Therefore, by confusing the concepts, this could have a negative impact on the client group and the work undertaken. Tara also employed indicators of sympathy to describe empathy by proposing:

You can put your own experiences into your own work and help others.

However, utilising 'your own experience' was considered an indicator of sympathy rather than empathy.

Helen, though, employs indicators of empathy, 'without previous experience', to describe sympathy and indicators of sympathy, 'you have been associated with', to describe empathy:

Sympathy in applied theatre work could come from attempting to understand one's issues of a community group without previous experience. Empathy in applied theatre work could be an understanding of a community group that you have been associated with in the past.

In the following extract, Linda starts by explaining sympathy and then reverses her point of view to empathy.

> …and sympathising there was a lady who I spoke to. I hadn't spoken to her before, she's only there one day a week, but she did one of the poems, she did the 'job poem', and some something that she was going to the hospital for her face, or something like that and I said, 'Oh, what's wrong with your face?' 'Oh' she said, 'I've got Bell's Palsy' and I could empathise with that because I had that twice in the past…

This is a further example of the dichotomy I had over the role of practitioner-researcher because Linda starts quite confidently in her explanation and then gets confused over the concepts. As an educator, I would have been able to discuss this confusion, which, again, would have been inappropriate in terms of the aims of the research.

An interesting observation was that, during the interviews and focus group, the participants were really reticent in their use of the terms empathy and sympathy and became confused when they were asked to utilise or describe the concepts. This was evident even when participants had been utilising indicators of empathy and sympathy and speaking quite confidently about their experiences. This is outlined in more detail in the section below. However, an example of this is demonstrated in the following extract of dialogue between the focus group participants:

> Julia: …we'd been kind of sympathetic because we have been in their shoes. I think, I can't, I don't (someone says empathetic) empathetic?
>
> Barry: That's why I didn't say it. I've also toyed [circled] around it.
>
> Gwen: …so if you're in a similar situation that's when empathy comes into…If I find myself feeling sorry for you, you (sic) haven't been through the experience but you're having sympathy. It's like is sympathy a good thing like compared to empathy? What's best? I don't know.

Julia utilises the metaphor 'we have been in their shoes' to describe sympathy only to realise that this could be confused when she tries to describe empathy. Barry admits that he is reluctant to utilise the concepts in the discussion because he recognises the confusion Julia is demonstrating. Gwen utilises indicators of sympathy to describe empathy by suggesting 'you're in a similar situation.' Furthermore, she utilises 'feeling

sorry for you' and, 'you haven't been through the experience', to describe sympathy, which combines indicators of both empathy and sympathy.

Consequences

In the analysis, some of the respondents began to consider what the consequences might be if the facilitator could not distinguish between the concepts of empathy and sympathy whilst working in applied theatre settings. The responses reflected opposite ends of a spectrum in that Helen suggested that it could cause harm, but could not specify what this harm might be:

> It would have an effect as the student could cause harm to themselves or the participants.

Whereas Elaine stated:

> I don't think it would have a major effect…

Whilst Carol agreed with Elaine and outlined:

> I don't think it would have a massive effect as a whole…

Carol also acknowledged that it could have an impact on the client-facilitator relationship:

> …however, the group may not open up to someone who doesn't have any empathy or sympathy for them.

There was a consensus of opinion within the responses that the main consequence would be the effect it could have on the client-facilitator relationship and, specifically, a negative one. Kylie suggested:

> It would have a negative effect on the project as the student would not be able to relate to the client/client group.

Furthermore, Rita put forward:

> It would affect (sic) the overall outcome because if you cannot understand your client's wants and needs. If you cannot understand the importance of empathy and sympathy within an applied theatre setting.

Here, Rita highlights that the overall outcome would be affected if you could not understand the client's wants and needs. Moreover, having an understanding of

empathy and sympathy within an applied theatre setting is important because it could also have an impact on the client's wants and needs.

Intersection between social worker and student practitioner

As outlined in the Literature Review (page 51), there were parallels and comparisons between aspects of social work research undertaken by Gerdes (2009; 2011; 2013) and the work carried out with students in applied theatre settings. In this section, components of empathy and sympathy from a social work perspective, and intersections between the roles of the social worker and student practitioner, are considered and analysed. Responses indicated that some of the respondents were inadvertently referring to social work components of empathy and sympathy, which could be because the nature of the applied theatre work involves working with people (as outlined above). This was particularly evident in the focus group analysis where five scenarios had been developed utilising social work components as a foundation (Appendix Six). The key social work components of empathy that emerged were, 'Perspective Taking' and 'Emotional Regulation'. However, the components of 'Affective Sharing' and 'Self-Other Awareness' featured significantly less in the responses made by the participants. Nonetheless, both have been included as a sub-theme for consideration because this was quite surprising - a result which is explained below. An emergent theme that resonated with the social work perspective was that of 'Helping People'. Therefore, the following section of this chapter is framed around: one) Perspective Taking; two) Emotional Regulation; three) Affective Sharing and Self-Other Awareness, and, four) 'Helping People'.

Perspective Taking

Barry demonstrated the skill of 'perspective taking' in his responses and utilised it in three of the scenarios posed in the Focus group. The following is an extract of the response he made:

> ...there has to be some reason why they are being disagreeable...so what I would try to do is try to get to know them better, get to their level, show them you have an interest in them...get prior knowledge from other people...and kind of say, 'Right, what is the most effective way to kind of (sic) work with these people? How do they work? How can I adapt myself to that...?

Here, Barry is outlining how to see the other's perspective by the need to get to know them better, get to their level and consider how they work, so that he can adapt himself to that. Whereas there were only two of the female respondents who made reference to 'perspective taking' - Gwen and Julia - and they did so in only one of the scenario discussions as follows:

> …come to their point of view, get to tell you like in detail why they are feeling (sic) and that you understand their point of view… (Gwen)

> …find out why they are there and why they want to and why they don't want to do it… (Julia)

Therefore, it could be considered that the male respondent in this instance, is demonstrating more empathetic traits than his female counterparts. All the respondents would have had exposure to drama activities that promoted 'perspective taking', yet did not articulate these in the discussions, nor in the questionnaire, interview one and interview two. These included Stanislavski's Method Acting and other drama activities (page 59) that provided opportunities to identify with imagined roles, situations and characters including role-play (Holland, 2009). However, the connection was not made in terms of how to relate their existing knowledge of drama activities to the scenarios posed. There was also a lack of understanding of how these dramatic conventions could be translated to the client-facilitator relationship. This is outlined in detail in the Literature Review (commencing page 59).

Emotional Regulation

Emotional Regulation was referred to by all four of the respondents in the focus group and in three of the scenarios posed. Metaphors were presented by the respondents to describe 'emotional regulation' when working with client groups in applied theatre settings. All respondents referred to the metaphor of 'taking a step back':

> …step away from your experience… you've got that kind of level of taking a step back… (Barry)

> …you've got to take a step back… (Julia)

> I think you need to take a step back… (Gwen)

> Step away because you need to keep a professional appearance up. (Linda)

Whilst Cheryl utilised the metaphor of 'stepping back' to consider 'emotional regulation,' it was in the acknowledgement of the difficultly that she found at times, to take a 'step away', because of the applied theatre setting that she found herself in:

> I think the whole area I was working in there was a lot of empathy and sympathy because me, myself and family have a history of mental health illness so it was quite challenging at times to step away from, from the empathy and sympathy of the situation…

Another metaphor provided by Gwen was, 'You've got to know there's a line' from which to 'step back from', if the situation required it, when working with different client groups. Furthermore, a metaphor for sympathy emerged from Gwen which related to 'emotional regulation' - that of, 'if it becomes too close to home.' Here Gwen was making reference to the fact that, if a situation became 'too close to home', then the facilitator would have to 'think about saying, 'I can't do this' and thus was considering it as a coping mechanism.

Julia and Cheryl utilised the phrase 'distancing yourself' and 'distancing from' as a means of 'emotional regulation' when working with client-groups:

> But it's the whole thing of like distancing yourself from them. (Julia)

> …I was mainly working with male clients who were older than me mainly helped distance from (sic)… (Cheryl)

In addition, the phrase, 'disconnect yourself', was proposed by Julia when describing a drama activity that could be employed with the client group as a strategy to deal with a challenging situation:

> …Hot seat the character that you are kind of empathising with, that you're crying, then they're crying as well and find out why they are crying because as a character and what the actor thinks about that character, because then it kind of says, 'Oh, actually, it's not real…you kind of disconnect yourself from it.

Cheryl also linked emotional regulation to the notion of keeping both the facilitator and client safe:

> …so, you need to make sure that you are doing it not only in a safe way for you, but in a safe way for the client group as well.

Furthermore, Barry stated that not having an understanding of empathy and sympathy within in an applied theatre setting could do more harm than good:

> Or you might be doing damage than good (sic), for yourself and them and the community group

However, it was expected that more of the respondents would have made reference to 'emotional regulation' or 'distancing', as this is a common feature of applied theatre work and certain drama activities. For example, Brecht employed distancing perspectives in his work - specifically the Verfremdung (estrangement) effect (Eriksson, 2011). The respondents would have been taught the principles of Brecht's work, yet did not make the connection with this in their responses to the scenarios posed. In a theatrical context 'distancing' creates a protective distance (Eriksson, 2011) between the self and the fictional other (Bolton, 2006). However, in both social work and applied theatre work the distancing function is primarily one of protection for the facilitator and participants and this is where there is an intersection between the two fields of study.

Affective Sharing and Self-Other Awareness

'Affective Sharing' within the literature is considered to be an internal personal response to a similar emotion between the self and other (Gerdes et al., 2009). It is accepted that there are students who have a greater capacity to empathise with others, due to either having inherently the personality trait to do so, or being open to develop their own personal capacity, and those students who do not, or cannot, experience affective empathy and sympathy. Cheryl identified this and stated:

> There are some people who do it quite naturally. There are some people, I'm thinking particularly in my group, who even if you tried to sit them down and explain it to them I don't think they would even begin to consider it and if they did it would be fleeting.

Nevertheless, it was expected that more of the respondents would have made responses that related to 'affective sharing', because it is an involuntary and personal action. However, the only responses that really fell into this sub-theme were two of the responses for 'Indicators of empathy and sympathy', and primarily those for 'sympathy', proposed by Cheryl and Kylie:

> …Feeling sorry for somebody…because you feel bad… (Cheryl)

> Where you feel sorry for the character (Kylie)

Therefore, it could be claimed that very few respondents made any affective responses because they were not displaying empathetic behaviour.

It was also extremely surprising that only one respondent, Lynn, made a reference to 'self-other awareness':

> If you have not experienced these aspects / situations but still considered the thoughts and feelings of the other individual (sic).

It is surprising because some of the drama techniques that are utilised in applied theatre settings provide the capacity to see oneself as another (Aden, 2010). The actor enters the world of the other to learn about the perspectives of the other (Henry, 2000), as outlined in more detail on page 49.

Therefore, it is important that the student be able to identify quite clearly between the self, and other with whom s/he is working, to ensure the appropriate drama techniques are employed and to develop the client-facilitator relationship. However, the respondents did not make this connection in any of the discussions or responses to the questionnaire.

'Helping People'

An interesting theme that emerged from the focus group data, which resonated with the social work perspective, was that a number of the respondents referred to 'helping' the client group when working within applied theatre settings. Whilst the work undertaken by the respondents is not intended to be therapeutic, some of the respondents referred to 'helping the client', rather than providing other reasons for the work being undertaken. Whilst, Taylor (2000: 90), for example, suggests that applied theatre can be utilised for the following purpose,

> To help participants, through drama, to explore the human condition; to develop a perspective of the world; to understand / struggle with the perspective of others and to move to a sense of social justice and equity.

The respondents were not explicit in what it was their applied theatre work was 'helping' the client to do and, therefore, could warrant further investigation.

The following are extracts that were made by Barry which made reference to 'helping' the client group:

> It's knowing how you can best help them, with the skills you have an as drama practitioners one would hope it is drama that is the way you go...So it's, it's kind of believing in what we're doing to start off with is going to help them...But if you actually just take the time to kind of get to know and understand the client group you think, 'Right, how can I help you best?

Barry acknowledges that it is drama that is being utilised to 'help' the client group. However, it is not clear what it is he is 'helping' the client to do. Furthermore, Gwen proposed:

> ...You need to have some kind of, like, drive to get you, to want to help them...

Here, Gwen is intimating that, in order for the practitioner to work in an applied theatre setting, you need 'to want to help them'. Again, it is not clear to help them to do what?

By suggesting they want to 'help' the client, the respondents could be playing out an unconscious 'sympathetic urge to relieve another's anxiety' (Gerdes 2011: 237) and if this is the case, this needs to be tackled and addressed because it could have negative connotations on the respondent and the client group.

However, Julia did question the notion of 'helping' the client, and made an interesting observation that resonated with the social work perspective, in that she acknowledges you are not there to make 'the wrongs in their life right' or 'try to fix' the situation or 'change their lives':

> ...you've gone in there to do a specific thing...You're not there to, to kind of make the wrongs in their life right...you've got to focus on the task you went in there to do with them. Don't be saying, 'Right, OK, you're all here for this reason I'm going to fix that...I know it might be a passionate feeling, but, that you want to change their lives, but don't.

Empathy and sympathy in action

Whilst it was found that providing a definition or description for empathy and sympathy was problematic for some of the respondents, when they were asked to provide practical examples of 'empathy and sympathy in action' there was evidence of

more understanding. Upon reflection, this could be due to the fact that they were not being required to provide a definition or to describe the concepts of empathy and sympathy and could relate to their own personal experience and knowledge which was implicitly informed by empathy and sympathy. This was evidenced by the length of responses received to the questions posed, and was in direct contrast to the responses received to the questions requiring a definition or description of the concepts.

Gina provided the following example of 'empathy and sympathy in action' to exemplify her interpretation of the concepts. Whilst it is quite a long extract, it is the entirety of her response:

> 'I used empathy as a facilitator throughout my community project. My project was a TIE performance on the theme of harassment. Empathy was especially important when the students began to open up and draw upon their own experiences to place the theme of harassment in context and share these with the group. This meant that even if they hadn't experienced this particular event themselves, they could imagine themselves in that position and empathise. This made all responses from the students respectful and appropriate.

In the first part of her response Gina utilises indicators of sympathy to describe empathy - that of 'drawing upon their own experiences' and then 'sharing these with the group' - which demonstrates some confusion over the concepts. However, when she continues, Gina states that those who, 'hadn't experienced this particular event themselves, they could imagine themselves in that position and empathise,' which exemplifies her understanding. Furthermore, when Gina continued to provide an example of sympathy in action, she demonstrated a good appreciation of the concept. Gina utilised indicators of sympathy, such as, 'I had experienced that myself and could completely sympathise with the student.' Furthermore, Gina outlines that whilst she sympathised with the situation, she continued 'to lead the discussion with an empathetic approach.'

> I experienced sympathy when a student told a particular story of how they were harassed in the street on the way home from school. I had experienced this myself and could completely sympathise with the student. I did not however make the students aware that I was sympathetic to the situation, as that point it was about the student. It was a special moment as there was

complete focus throughout the room and you could tell following discussion afterwards that the students were both empathetic and sympathetic. I felt that it was not appropriate to bring my own story into context at this point, as I wanted the student to feel heard. At this point I continued to lead the discussion with an empathetic approach.

Gina is, therefore, also considering how empathy and sympathy are being utilised to maximise the client-facilitator relationship.

When the respondents referred to their own Performance Project, they were able to articulate quite clearly 'empathy and sympathy in action'. In order to exemplify their understanding, some of the extracts outlined here are quite lengthy. The respondents were asked to provide examples of how the concepts of empathy and sympathy had been particularly experienced, considered or used, whilst on their Performance Project. Moira provided the following example that demonstrated her understanding of empathy when working with students who had English as a second language:

> The performance project…where I am working with a group of students who have English as a second language (sic). I obviously don't have English as a second language, so a lot of empathy is used there and yes, every time we kinda (sic) work together using different activities…

Cheryl provided an example of an activity that was used with clients whilst she was on placement to demonstrate her appreciation of sympathy. Cheryl outlines a role-play activity that resonated with one of the clients she was working with, so 'he could sympathise with what was happening':

> We were working one day, it was role play about how a mother and daughter were having an argument and how it made the mother feel after the daughter had stormed out of the room and kicked up this fuss. And one of the clients I was working with, said that this was something he had experienced himself and after seeing the role play take place he reflected on his own thoughts and what he had done and actually went out and rang his own family, cos (sic) it was something that he had never experienced before. He had never been presented it in a way which he could sympathise with what was happening…

What was particularly interesting was the following response from Linda, who had found it difficult to provide a definition or describe the concepts of empathy or sympathy, or initially be able to distinguish between the concepts. She had got herself quite confused over the concepts of empathy and sympathy throughout the research

process, yet provided the following example of 'empathy and sympathy in action'. Here Linda is clearly articulating the differences between empathy and sympathy:

> …in the poem technique that I used they were sharing, they were doing it together because they were doing it as a group, so they were sympathising…they also spoke more about the war as well, so they could sympathise cos (sic) they'd all lived through that time…but with storyboarding…that they didn't seem to like sharing because there seemed to be a lot more themes and they didn't seem as much to like sharing, so it was more they would share it with me…and I would have to empathise and imagine what it was, is they were trying to tell me…

However, it does need to be acknowledged that, by the stage of interview two, Linda had participated in the questionnaire and interview one, which may have helped inform her own interpretation of the concepts. I wanted the participants in the research to also be part of the learning experience (page 75).

Barry provided an example of 'sympathy in action' when he outlined the client group that he was working with and how he could sympathise with the situation that the clients found themselves in:

> …the client group I am working with…is classed as a deprived area, money isn't really, there's not much spare income to send them off to drama school or something like that, or to a Stagecoach. I mean that is something that I experienced when I was their age, I didn't have the money to go to, I don't know, the drama school up the road, or something like that. So, I can kind of relate to them and I know how they were feeling when it's £6 a week to send me off to a youth theatre. So, I can understand their frustration of liking something, enjoying something and being good at something, but not being able to develop further because they haven't got the money to kind of do it…

Barry is considering how sympathy is being utilised to help develop the client-facilitator relationship, as he refers to 'relating' to the client group. He believes he is able to do this because he has experienced a 'similar situation' to that of the clients, and as such, 'I know how they are feeling'. Here he is also utilising indicators of sympathy. Yet when Barry was initially asked to describe or define empathy and sympathy, he found it challenging to do so and difficult to distinguish between the two. However, by providing an example, he was able to verbalise his interpretation of the concept of sympathy.

Findings for research question two

> Can empathy and sympathy be learned and practiced, and if so, what pedagogical techniques are effective?

The questions posed in the questionnaire, interview one, interview two and focus group were designed to try to elicit responses to consider whether the concepts of empathy and sympathy could be learned and practiced. To determine this, respondents were asked to identify any specific modules where they believed empathy and sympathy had been considered on the programme of study. Furthermore, respondents were asked to outline any modules where the concepts of empathy and sympathy could be learnt and/or practiced. Moreover, respondents were invited to determine whether the concepts could be learnt and what importance, if any, teaching the concepts would have for students working in applied theatre settings. In addition, respondents considered what pedagogical techniques, if any, had been, or could be, effective to learn and practice the concepts of empathy and sympathy. This section focuses on the key themes that emerged in the data analysis of question two and include the following, one) Modules Identified; two) Sensitive Issues; three) Implicit versus explicit, and four) Empathy and sympathy pedagogical techniques.

Modules Identified

The respondents identified eight discrete modules from the sixteen modules taught over the three-year programme of study where they thought empathy and sympathy had been considered. The modules identified are outlined in Table 4-1 (page 135).

One of the common themes associated with five of the modules outlined below is that the students were involved in working with a specific client group, in an actual applied theatre setting, requiring an effective client-facilitator relationship. Barry suggested:

> …The Theatre in Education module where we actually (sic) with vulnerable people where we need to actually be considerate of what they have been through, what they might be going through…

Module	Applied theatre Setting
Theatre in Education	Secondary School
Storytelling (Narrative Arts)	Reception and Primary School
Educational Drama/Process Drama	Primary and Secondary School
Performance Project	AgeUK, Youth Club, Primary School, Secure Mental Health Ward, FE College
Professional Practice	Special Education School Primary and Secondary School Museum
Community Arts	Applied theatre setting identified and hypothetical project developed
Performance in Cultural Practice (Global Perspectives)	Non-European Culture identified
Shakespeare	Performance in the community

Table 4-1 Modules Identified on the BA(Hons) programme of study where empathy and sympathy had been considered

Cheryl referred to storytelling which featured in the Narrative Arts module and outlined:

> …one of the first placements I ever did we went into primary school where the majority of the class, um, English was their second language, or they didn't have English as a language and we did story telling with them…

Moira stated:

> …Um, yeah, the Performance Project. Um, where I'm working with a group of students who have English as a second language…

In one of the modules - Community Arts (outlined in Table 4-1) - whilst consideration was given to working with a client group, it was a hypothetical exercise, where the student formulated an appropriate project to suit the needs of the client. Shakespeare required the student to perform in an appropriate community setting and Performance in Cultural Context provided the student with an opportunity to consider 'the other' by investigating a Non-European culture of their own choosing - examples included: The Karen Tribe of Chiang Mai, Thailand; Noh Theatre in Japan; Zulu (Bantu) Tribe, Southern Africa, and Favela's and Samba in Brazil. As Cheryl outlined:

> Performance in other cultures because if you can't have the respect there to empathise with different cultures, then you can't begin to look at them in a respectful and safe way (sic).

Barry further highlighted that the Global Perspectives module (previously called, Performance in Cultural Context) provided students with an experience of considering the 'other' and the respect required when working with 'others', including the choice of activities utilised:

> …but when you are working with people with a different background there's that whole sense of how we have looked at things during Global Perspectives…you've got to be careful about pushing your kind of, own activities and experiences onto them, when they have, they might have beliefs which are completely different…to respect where they are coming from…

However, Gina and Cheryl both acknowledged that all modules studied on the three-year programme, ought to include some consideration of the concepts of empathy and sympathy because of the work undertaken in different community groups. Gina outlined:

> All. I think empathy and sympathy should be explored through all modules when considering yourself as a facilitator, director or actor and also when working with all areas of the community, especially when focusing on the needs of a particular community group.

Cheryl highlights that, because the programme is 'so community led, we are always working with people, keeping people in mind…so I think it links to all modules…'

> …I think if you are working with people you need it and because the course being so community led we are always working with people, keeping people in mind, thinking about people, so I think it links to all modules, um, especially some of the more theory, even some of the more theory based ones… (Cheryl)

Once again, the common theme presented here is the client-facilitator relationship and utilising empathy and sympathy to help work with people from a diverse range of community groups.

Sensitive Issues

Another key theme that emerged from the analysis was that the concepts of empathy and sympathy might be a useful technique to utilise when dealing with sensitive issues, for example, the issues of Homophobia, Cyber-bullying, Body Image, Addiction,

and Immigration, all of which were dealt with in the Theatre in Education (TIE) module. Empathy and sympathy could be a lens through which to help students consider these types of issues and work with the corresponding client groups. Respondents identified specific modules on the BA programme of study that specifically dealt with sensitive issues, including, Theatre in Education (TIE), Process Drama, and the Performance Project. For example, Moira outlined:

> Theatre in Education. We were obviously dealing with sensitive issues, such as, my group that I was in, um alcoholism, and the group went into prison and obviously in a prison that is quite a sensitive issue. Again we, we had been, not that I know of and speaking personally, I had never been through, that those particular sorts of topics myself, (sic) so I suppose empathy was used there.

Here Moira outlines the scope of the sensitive issue and how empathy was used to develop the client-facilitator relationship. Furthermore, Gwen suggested:

> Empathy is important when dealing with sensitive subjects, e.g. T.I.E. (sic)

However, Helen considered how the sensitive issue could cause harm and proposed that:

> It may be more important to adopt a sympathetic stance in an applied theatre setting where there are sensitive issues involved which could cause harm.

Unfortunately, Helen does not outline any specific sensitive issues or types of harm that might be caused, or why it would be important to adopt a sympathetic stance, which would have helped to put her response into context.

Implicit versus explicit teaching

Moira and Linda recognised that the concepts of empathy and sympathy had been considered in an implicit manner rather than explicitly taught on the programme of study. Moira outlined:

> …I think it has always been there kind of (sic), but it has been at the back and not being mentioned…it may have just been discussed in a way here, it is has not been labelled as empathy and sympathy (sic)…

Linda remarked:

> As far as I can remember, I could have been wrong as I might have been asleep that day (jokingly) there wasn't a lecture or anything where it was 'Sympathy, today we are going to talk about this for three hours'…I think it was more implicitly done. I can't remember a specific moment where it was.

Furthermore, Linda outlined a module where the concepts of empathy and sympathy had been considered but only implicitly:

> …in Educational Drama, I think it was more implicitly done. I can't remember a specific moment where it was…

However, Cheryl did make reference to empathy and sympathy being considered as part of Storytelling (Narrative Arts) module:

> …and we looked at how sympathy and empathy is used in stories, um, and how when telling that story to them…

Nevertheless, it is acknowledged that the concepts of empathy and sympathy are primarily considered on the programme of study in an implicit manner. Whilst empathy and sympathy are not taught explicitly, the respondents were able to identify some appropriate techniques to consider the concepts in a more explicit manner. Therefore, 'making the implicit explicit' and teaching the student the concepts of empathy and sympathy in a more explicit way could help in their development of the client-facilitator relationship and deal with potentially sensitive issues associated with working in applied theatre settings. As Gerdes (2011) stated, being able to distinguish between empathy and sympathy can help the student to consider the techniques to utilise to develop an effective client-facilitator relationship. 'Making the implicit explicit' as a recommendation will be explored in more detail in the Conclusion and Recommendations chapter (page 162).

However, the respondents were able to identify some appropriate pedagogical techniques that could be utilised to consider empathy and sympathy which is the focus of the next section.

Empathy and Sympathy Pedagogical Techniques

There was a consensus that Stanislavski was an appropriate practitioner to refer to when considering the concept of empathy. Moira stated:

> …. when looking at different practitioners, such as, Stanislavski, you have to put yourself in a situation, instead of or remembering something similar…

Furthermore, Barry and Gina suggested:

> Well, Method Acting is one that jumps out at me, kinda (sic) coming from the Stanislavski school… (Barry)

> Stanislavski's emotion memory. (Gina)

However, the respondents only referred to one key practitioner. It was surprising that not one respondent referred to the work of Brecht and Boal (page(s) 24-26), who are key proponents in the field of applied theatre and whose work is studied and referred to throughout their three years of study. Also, the pedagogical techniques that the respondents outlined were primarily ones to explore the concept of empathy, rather than sympathy. Barry refers to, 'those' to mean drama activities and outlined:

> I'd say, I mean, (sic) I'm aware much more of those in terms of empathetic (sic)…

As Cunningham (2009) proposed, the choice of activities provides an insight into the facilitators own conception of empathy, which in this case appears to be the work of Stanislavski.

The respondents struggled to identify many specific pedagogical techniques that could be employed to explore the concept of sympathy. Here, the work of Boal and, specifically, Theatre of the Oppressed, would have been expected to be identified, as his work was extensively referred to during the three years of study and, particularly, on the Theatre in Education (TIE) module in Year one. This could indicate that the concepts of empathy and sympathy ought to be addressed more explicitly and earlier in the programme of study.

However, the pedagogical techniques that were identified are summarised in Table 4-2 and the following headings were created to categorise the drama techniques identified:

Exploring the self – activities that are utilised to explore the self

Connexion between self and other – activities that can be used by the individual to explore the self and also used to consider 'the other' - for example, a poem could be written by an individual based on their own experiences or it could be a poem that explores the other's perspective

Creating the other – activities to create the other, such as character development

Exploring the Self	Connexion between Self and Other	Creating the Other
Reminiscence / memories	Charades Case Study Poem Storyboard Improvisations Devising Script Writing Stories Interviews	Role Play Hot seating a character Role on the Wall Teacher in Role Character Development Assigned a character

Table 4-2 Pedagogical techniques identified by respondents

Cheryl outlined that, whilst working on her Performance Project the activities that she worked with had sensitive subjects and topics associated with them and concluded:

> …with everything you either empathise or sympathise with each of these topics because they all were personal to either the person in the room or their family or their friends, erm, (sic) because a lot of the discussion that we had, and activities were based on real-life situations they had experienced themselves. (Cheryl)

Barry was quite confident in his response to outlining a pedagogical technique to explore empathy and, specifically, in developing a character and 'Creating the Other':

> …Well, you're asking them to kind of analyse or consider the life or the standard of life of this character/being/object is (sic) through kind of breaking it down taking, look, stepping back and actually considering the wider knowledge that we have of the play, the Given Circumstances and then saying

well actually what do other people think of him, er, how do they interact with him, how would that suggest he might feel, or something like that.

The 'Given Circumstances' is a technique accredited to the work of Stanislavski and is one of the fundamentals of Empathetic Theatre (Neelands and Dobson, 2000). As can be seen, Barry is explaining the analytical process that is to be undertaken to 'create the other' by breaking it down, stepping back and utilising the Given Circumstances to develop a character. Here, Barry is utilising perspective taking by considering the other through asking questions pertaining to the other to create a character. Perspective taking according to Neelands (2001), is where a person is learning to try to see things from the other's point of view and perspectives. There is also an intersection here with social work and the notion of perspective taking. Cheryl also referred to the Given Circumstances in relation to being assigned a character from a script and to 'create the other':

> ...working on a script or you have been assigned characters, you empathise with them, you might not necessarily have gone through what they have been through, but you can pick out what you can from what has been presented to you, the Given Circumstances...

Barry also considered that some activities could be damaging to the client-group and stated:

> It might be a group that absolutely hate hot-seating, or for some reason, hot-seating could be like really damaging for the group...

Therefore, the concepts of empathy and sympathy could be utilised as a lens through which to evaluate the appropriateness of the chosen activity with the client group. This is outlined below.

Linda found it difficult to identify any pedagogical techniques that could be used to explore empathy and sympathy and simply stated:

> No! I can't think of any.

In regard to teaching the concepts of empathy and sympathy, Erica commented that it was important:

> Because this is a skill that can be used throughout life.

This particularly resonated with Aden (2010), who proposed that empathy is a skill in itself that underpins communication and, specifically, inter-intra cultural communication. Furthermore, Aden proposed that empathy is a useful tool when there is a breakdown in communication. Erica stated:

> They are just as important as each other so both should be used.

In addition, Barry identified:

> I think both can be used as a tool, to kind of get on that same level. To get the common ground, but to also (sic) it might not be the right tool. It's like anything it depends upon the situation.

Here, Barry identifies empathy and sympathy as tools that can be utilised, depending upon the situation, and acknowledges that either might not be the right tool. Therefore, if the concepts of empathy and sympathy were taught as a tool to utilise, it could help the student work in different applied theatre settings and with different client groups. This is explored in more detail in a later section.

With regards to teaching the concepts of empathy and sympathy, Cheryl advocated caution:

> I think teaching empathy and sympathy is a very difficult task. I think there is only so much you can teach about empathy and sympathy, I think you can give them the opportunity in which to experience different stories...in which to build their own opinion on. But unless they are engaged and want to know that information and therefore build their own opinion there is nothing you can do to make someone feel sympathy because if they don't want to they aren't going to, if they're not interested they are not interested.

This is a view that is shared within the literature, particularly Alligood (2005), who argues that trait empathy is a personality trait and as such cannot be taught because it is an affective response. However, Cheryl outlined that opportunities ought to be given to students to experience different stories so that they can build their own opinion about the other. Yet, her final statement in regard to 'if they're not interested they are not interested', is an opinion to consider when developing a teaching and learning pedagogical model for empathy and sympathy - that there will be an acknowledgment that it is cognitive empathy, rather than affective empathy, that will form the basis of the pedagogical model.

Cheryl did concede, however, that if the concepts of empathy and sympathy were to be taught it ought to be located at the beginning of the course and in the earlier modules. This is a view shared by Deloney and Graham (2003) who suggest that teaching empathy skills ought to be conducted early in the course of training. Cheryl stated:

> I think it should probably be at the beginning of the course where um, where we know that we want, come onto the course (sic) only have probably never done any community (sic) before…we must have had a lecture about the sort of groups you would be working with and is kinda (sic) thinking about it so, from then, so that when you go into these different groups they all have different issues, and they all have to be dealt with and the different ways in which to think of empathy and sympathy towards the activities you are doing, how you are speaking to them and stuff and just kind of mention it now and again…

Cheryl outlines that a lecture must have taken place with regards to the different client groups and the different issues each group would have, which is correct. However, the concepts of empathy and sympathy were considered in an implicit manner, rather than explicitly, which will be discussed in more detail in the Conclusion and Recommendations chapter (page 162). Here Cheryl is alluding to the client-facilitator relationship that is integral to the work undertaken in applied theatre settings. In terms of teaching empathy and sympathy in relation to the different client groups and the client-facilitator, pedagogical techniques from social work were modified to create new models and frameworks and used as a lens through which to discuss the findings.

The following section outlines new teaching and learning pedagogical models and frameworks that were developed in response to the findings and synthesis of multidisciplinary models of empathy and sympathy. The models and frameworks have been modified from existing pedagogical approaches from social work and applied theatre and as such contribute to new professional knowledge. However, each has been utilised as a lens through which to present the discussion of the findings in respect of question two.

Figure 4-1 Four-quadrant matrix model of empathy and sympathy in applied theatre settings was developed in response to the findings and synthesis of models and

concepts presented in the multidisciplinary literature and is a four-quadrant matrix model. The findings indicated that the participants found the concepts of empathy and sympathy confusing to understand and displayed misunderstanding. Therefore, the purpose of the model was to help the student understand the relationship between attributes of empathy and sympathy, rather than make a decision (Mahffie, 2009; Martin, 2016) or utilise it as a measurement tool. It is a visual representation of different empathy and sympathy attributes that is intended to inform and direct the student, to work in the shaded areas of creative empathy and sympathy and thus avoid the route of therapy, when working in applied theatre settings.
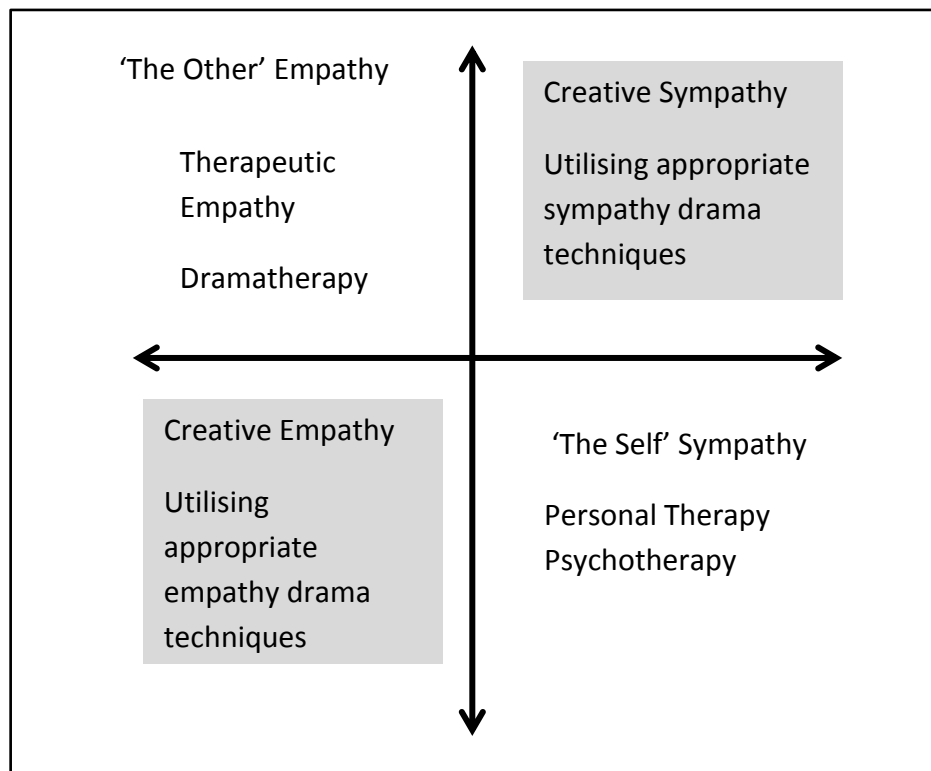
Figure 4-1 Four-quadrant matrix model of empathy and sympathy in applied theatre settings

The client-facilitator relationship

The client-facilitator relationship was highlighted as an important finding in the data, where empathy and sympathy could be useful concepts to help the student develop this relationship. Therefore, two models to help explain the concepts of empathy and sympathy in relation to the client-facilitator relationship have been developed. This resonates with Gerdes and Segal (2011), who suggest that being able to distinguish between the concepts of empathy and sympathy is important in the client-facilitator relationship. Cheryl, Barry and Moira identified that, at the heart of applied theatre work, is 'working with other people'. Students may find themselves in unfamiliar situations working with a range of client groups that could also be from cross-cultural backgrounds (Pinderhughes, 1979). The respondents in the research had experience of working with the elderly/senior citizens, children/adults with special educational needs, in a prison, in a secure mental health unit, primary and secondary schools and a youth club. Respondents also made reference to 'helping' the client group (page 129). Therefore, for the facilitator, it is important that s/he maintains an understanding of how their feelings are different from that of the client.

The following models - Figure 4-2 and Figure 4-3 - are intended to help the student to begin to understand, and distinguish between, the concepts of empathy and sympathy and to consider the concepts when working with clients in a diverse range of applied theatre settings. The student will be exposed to a range of different applied theatre settings and client groups and confronted by different topics/themes/feelings that they could either empathise or sympathise with. This was evidenced in the data. Whilst Figure 4-2, Figure 4-3 and Figure 4-4 have common elements, there are also distinctive features, and each will be outlined in separate sections.

Figure 4-2 Model of empathy and sympathy in the client-facilitator relationship in applied theatre settings is a pedagogical model that has been modified and developed based on the following social work empathy models: The Three Stages of Empathy (Figure 2-1, page 36) and A Graphic Representation of Three Intersubjective Processes (Figure 2-2, page 42), proposed by Davis (1990) and the work of Wyschogrod (1981) and Boler (1997) and developed to further discuss the findings.

Sympathy and empathy are presented as discrete concepts, with the intersection of sympathy as the starting point for the empathy process. Therefore, if the facilitator does share a common feeling or experience - for example, Cheryl who worked with a mental health group and acknowledged that she had experienced mental health issues, and recognised 'that could be me', (Boler, 1997: 256) - she would still need to adopt a position of empathy in order to foster an effective client-facilitator relationship and to offer her some self-protection. This is to help Cheryl – as facilitator - to view the situation from the perspective of the client rather than from her own, as her interpretation of the situation could be very different to that of the client. Cheryl alluded to this in the data (page 118).

Model of Sympathy		Model of Empathy
Stage One – Identification by facilitator of 'That could be me' Facilitator Client	*Intersection of sympathy into the empathy process*	**Stage One – Identification by facilitator of 'I am not you'** Facilitator Client
Stage Two – You and I share a common feeling / experience Facilitator Client		**Stage Two – You and I do not share a common feeling / experience** ???? Facilitator Client
Stage Three – We stand side by side sharing a common feeling currently or in the past Facilitator Client		**Stage Three – Facilitator 'I imagine what the situation is like for you from your perspective'** Facilitator Client
Stage Four **Distancing strategies to avoid Pity**		**Stage Four** **Distancing strategies to avoid Over - Identification**
Stage Five - Facilitator Returns to Self Facilitator Client		**Stage Five - Facilitator Returns to Self** Facilitator Client

Figure 4-2 Model of empathy and sympathy in the client-facilitator relationship in applied theatre settings

It is also to ensure that Cheryl does not disengage from the client or even take on the burden of the client (Gerdes and Segal, 2011) if the sympathetic stance is maintained. Gina articulated this well in the data, where she acknowledged that she:

> …could completely sympathise with the student…I felt it was not appropriate to bring my own story into the context at this point, as I wanted the student to

feel heard. At this point I continued to lead the discussion with an empathetic approach.

Whereas Linda worked with a senior citizen group suffering with dementia and recognised 'I am not you' (Boler, 1997: 256) because she was not part of this community, she would therefore be expected to adopt a position of empathy at the start of the process. Furthermore, as Linda did not share a same, or similar, experience she would endeavour to consider a corresponding emotion, in order to imagine the situation from the client's point of view.

In both instances, Cheryl who was working with a mental health group, and Linda with a senior citizen group, would need to put appropriate distancing techniques in place. This is to ensure a protective distance (Eriksson, 2011) is maintained between facilitator and client. Clear self-other boundaries ought to be established to avoid what Gerdes and Segal (2011) term, self-other blending, to avoid experiencing the others experience as their own, or project their own motivations onto others and misconstrue the others experience. For example, Cheryl stated that to help her distance herself from the issue:

> I was mainly working with male clients, who were older than me mainly, erm, which helped distance from and add that separate frame (sic) erm, from myself...the activities that we did...chosen topics that we previously discussed that, erm, I built into the planning, so that if there were topics that I thought were quite sensitive to myself or something I had previously experienced, I was aware that it might come up, erm, so that I could prepare myself for what might be said or done, erm, and when those topics did come up that I felt uncomfortable about, erm, I worked around me not being a part of the role play, erm, or activity and more of...an observer as an outsider...which I felt helped a lot...

Therefore, whilst Cheryl identified with the issue of mental health, she chose to work with a male group to help start the distancing process. Cheryl identified the importance of planning the session and the type of activities to be utilised, either from a sympathy or empathy point of view, and highlighted any activities that might prompt a reaction from her in order to prepare herself and help deal with the situation.

Once the applied theatre project is completed, the facilitator returns to the position of self through the use of self-reflection and appropriate drama techniques such as

mindfulness. A more detailed discussion of the five stages of this model is described in Appendix Nine.

Figure 4-3 Framework for empathy and sympathy in applied theatre settings has been developed in response to the data, through synthesising Freire's Codification and De-codification model (1970), (outlined in Figure 2-4, page 65), and Boler's definitions of 'I am not you' (empathy) and 'that could be me' (sympathy) (1997: 256). However, there are also similarities with Figure 4-2 and Figure 4-4 to help reinforce the students' knowledge, understanding and interpretation of the concepts of empathy and sympathy. It has also been based on critical reflective practice, where consideration of normal professional practice was made whilst teaching the Community Orientation module and Performance Project module. It is envisaged that the framework could be presented as a whole process for working in any applied theatre setting. It is recommended that the whole framework be introduced at the start of the Community Orientation module for the students to consider. Furthermore, the intention is to help the student to begin to distinguish between the concepts of empathy and sympathy and help enhance both the client-facilitator relationship and the work being undertaken. The student would actively conduct phases one to three during the Community Orientation module, where the student familiarises her/himself, and selects the applied theatre setting and client group with which to work. Phases four and five would be undertaken during the Performance Project module, where a ten-week placement is carried out in the chosen applied theatre setting with a client group.

To exemplify the framework, the respondents in the data, Barry, Linda, Cheryl and Moira, are referred to in the discussion of the findings - to further demonstrate how the framework could operate if utilised as a pedagogical model to consider the concepts of empathy and sympathy in a more explicit manner. Barry and Cheryl came from an initial position of sympathy and Linda and Moira, empathy.

Phase One

Familiarisation and Selection of Community Group

Phase Two

Community Orientation - Part One

Phase Three

Community Orientation – Part Two

Phase Four

Duration of Project

Phase Five

Conclusion of Project

Figure 4-3 Framework for empathy and sympathy in applied theatre settings

The framework suggests that the facilitator, when initiating an applied theatre project, adopts an initial point of view of sympathy, or a position that closely resembles sympathy, and then oscillates between sympathy and empathy. In essence sympathy becomes part of the empathy process. For example, Cheryl found herself in this position more often than Moira because of the relationship that she had with the issue, and client group, and identified:

> …because me, myself and family have a history of mental health illness, so it was quite challenging at times to step back from, from the empathy and sympathy of the situation….

This is similar to Figure 4-2 and Figure 4-4, in that the facilitator is required to identify his/her self-interest for working with the client group where the ability to distinguish between empathy and sympathy would prove to be beneficial. This is a personal response to the choice of client group with which the facilitator has chosen to work. For example, Barry elected to work with a youth group on the housing estate that he had grown up on and stated, "…that it is something I had experienced when I was their age." Whereas Moira chose to work with a group of primary school children who had English as a second language, something she had no previous experience of. Linda selected to work with a senior citizen group with members who suffered with dementia, again, something she had not personally experienced.

Community Orientation Part One is where the codification process (Freire, 1970) is undertaken. The facilitator attempts to adopt a sympathetic point of view with the acknowledgement of 'that could be me' (Boler, 1997: 256). Through self-reflection, the facilitator considers the identification of self in relation to the client group. Consideration is given to whether the facilitator shares a same, or similar, experience, or feeling, with the client group and is, therefore, subjective. This is also to ensure that the appropriate safeguards are put in place. Whilst it ought not to preclude students from undertaking the work, it could if there was an over-identification with the client group. For example, Cheryl and Barry were able to adopt a sympathetic point of view because they had shared a same or similar experience as their chosen client group, and had outlined that they did not over-identify with the group s/he was working with. Whereas Moira and Linda identified that they did not share a same or similar experience. However, it would have been helpful for them to locate a same or similar experience in which they might consider themselves in relation to the client group to begin the empathy process. Community Orientation Part Two is where the decodification process (Friere, 1970) is undertaken. The facilitator moves to an empathy point of view realising that 'I am not you' (Boler, 1997: 256), even if the facilitator shares a same or similar experience. Gina was the only respondent who made this connection in the data (page 131). In essence, the facilitator develops a sense of the other through self-reflection and is objective. For Cheryl, the challenge was for her to move away from the sympathetic point of view to an empathetic one

because of her closeness to the issue. However, by her recognition of this, and realising the client group with whom she was working was not her, she began to develop a sense of the other. For Barry, the transition to the empathetic stance was less challenging, as, whilst he had experienced a same or similar experience, he was not a teenager experiencing the same experience now. On the other hand, Moira and Linda established this understanding quite quickly, because Moira did not have English as a second language and Linda was not a senior citizen with dementia. Throughout the duration of the project, the facilitators oscillate between a sympathetic and empathetic point of view, 'that could be me' only 'I am not you' (Boler, 1997: 256) to develop the client-facilitator relationship. Through self-reflection, the facilitator utilises a sense of self and the other to maximise the client-facilitator relationship and work being carried out. Furthermore, the appropriate drama techniques pursuant to empathy and sympathy are utilised to suit the needs of the client group. Cheryl oscillated between the positions of empathy and sympathy in her choice of activities (page 121) and in the development of an effective client-facilitator relationship.

As with Figure 4-2 and Figure 4-3, at the conclusion of the project Cheryl, Barry, Linda and Moira returned to self through self-reflection. As part of the Performance Project module Cheryl, Barry, Linda and Moira were required to undertake self-reflection and evaluate the project from their own perspective and that of the participants. All of which helped them to return to the position of the self.

Choice of drama technique

The choice of techniques was also identified as an important finding in the data. Whilst the respondents found it difficult to provide a definition, or describe empathy and sympathy, they did evidence an appreciation of how distinguishing between the concepts of empathy and sympathy might impact upon the choice of activities used with client groups in applied theatre settings. Furthermore, it could help aid the enhancement of the client-facilitator relationship by choosing the most appropriate drama technique. There are a range of drama techniques that have a foundation in empathetic or sympathetic positions that could be utilised to explicitly teach the concepts. This model focuses on the utilisation of sympathy drama techniques. The
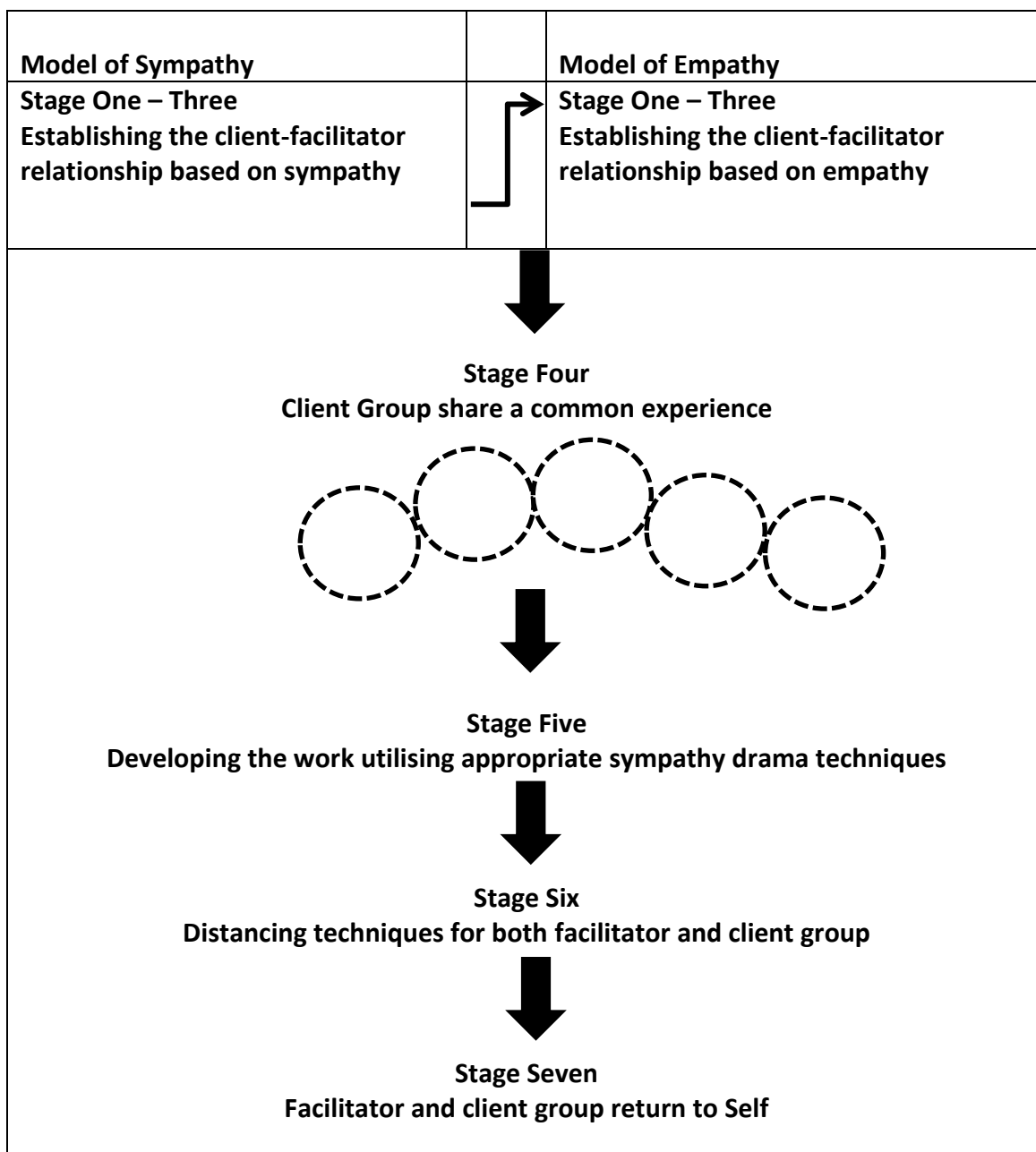
empathy drama techniques have been considered in the Literature Review (page 59) and in the Application of social work components to applied theatre settings section (page(s) 57-61).

Figure 4-4 Model of empathy and sympathy in the client-facilitator relationship in applied theatre settings utilising sympathy drama techniques is intended to help the students understand some of the sympathy drama techniques available that could be employed in applied theatre settings, whilst still adopting an empathetic stance in the client-facilitator relationship. Respondents in the research found it challenging to provide any examples of sympathy drama techniques. However, it is not proposed that the work in applied theatre is to become prescriptive, or that a rigid approach be adopted - rather that the students develop their knowledge and understanding to help make informed decisions and thus enable them to appreciate that every situation is different and, as such, demand different drama techniques and strategies (Prentki and Selman, 2003).

Stages One, Two, and Three, are common aspects of both Figure 4-2 and Figure 4-4. Sympathy and empathy are presented as discrete concepts in both models, with the intersection of sympathy as the starting point for the empathy process.

The following section outlines Stage Four and Five of Figure 4-4, in terms of developing the work utilising appropriate sympathy drama techniques. If the client group share a same or similar experience, it is proposed that there are specific drama techniques located in sympathy that could be more appropriate to utilise, for example, Linda working with a senior citizen group or Cheryl with a mental health group. In both instances, it is advisable for the facilitator to adopt an empathetic position to develop the client-facilitator relationship so that s/he can be more objective. This was highlighted in the data by Gina on page 131. Furthermore, it is recommended that the sympathy drama techniques are not appropriate for a client group if they can only imagine what the situation is like, and do not have a same or similar personal experience (Boal, 1979). Therefore, if the client group has to adopt a position of empathy, the sympathy techniques outlined would not be suitable. Linda, for example, worked with a senior citizen group and did not share the same orientation,

acknowledged that the group shared a similar experience and determined that sympathy drama techniques would be the most appropriate to fulfil the needs of the client group. It is proposed that the following drama techniques require a sympathy approach and, therefore, are ideally suited to a client group that share a common experience and include, Theatre of the Oppressed (Boal, 1979), Autobiographical Theatre (Shaughnessy, 2012) and Reminiscence Theatre (Nicholson, 2009). An overview of Theatre of the Oppressed can be found in the Stanislavski, Brecht and Boal section commencing on page 23 and Autobiographical Theatre and Reminiscence Theatre on page 4.

Model of Sympathy		Model of Empathy
Stage One – Three **Establishing the client-facilitator** **relationship based on sympathy**		**Stage One – Three** **Establishing the client-facilitator** **relationship based on empathy**

Stage Four
Client Group share a common experience

Stage Five
Developing the work utilising appropriate sympathy drama techniques

Stage Six
Distancing techniques for both facilitator and client group

Stage Seven
Facilitator and client group return to Self

Figure 4-4 Model of empathy and sympathy in the client-facilitator relationship in applied theatre settings utilising sympathy drama techniques

Therefore, for the purposes of this discussion, Linda and the senior citizen group agree on Reminiscence Theatre to create a performance that outlines their personal experiences and their lived experiences of dementia. This is a very different experience to a non-senior citizen client group who try to imagine what the situation would be like for a person with dementia and what their lived experiences are.

Whilst it is recommended that the sympathy drama techniques ought to be only utilised with a client group that share a same or similar experience, in some instances the facilitator might also decide to utilise empathy drama techniques with this group. It is acknowledged within Western theatre that the work of Stanislavski has been seminal in the development of Empathetic Theatre (page 24) and empathy drama techniques. This was evidenced in the data, where there was a consensus that Stanislavski's work is associated with empathy. Some of the empathy drama techniques are outlined in the Literature Review, in the Application of social work to applied theatre settings section (page(s) 59-61).

There are examples within the literature that confirm that empathy can be taught using carefully sequenced dramatic conventions (Neelands, 2004). However, how these dramatic conventions are translated to the client-facilitator relationship is unclear. The intersection with social work and applied theatre settings provided useful parallels to help create a new way of thinking for students working in applied theatre settings which is outlined in the Literature Review (commencing page 51). By students participating in drama techniques, and breaking it down in the manner discussed in relation to social work (page(s) 59-61), the concept of empathy is being explicitly considered and the connection to the client-facilitator relationship outlined. This is a contribution to new knowledge in applied theatre practice and could also have merit in social work practice.

The work undertaken in applied theatre settings could consist of purely sympathy-based drama techniques, empathy-based drama techniques, or a combination of the two. However, with all drama techniques, careful consideration and understanding of the client group is required when choosing the most appropriate ones to utilise. This was evidenced in the research by Barry who stated:

> …it might be a group that absolutely hate hot-seating, or for some reason, hot-seating could be like really damaging for the group…

By students participating in different types of drama techniques and breaking it down in this manner, the concept of empathy is being explicitly considered and the

connection to the client-facilitator relationship outlined. This, I propose, is a further contribution to new knowledge in applied theatre practice.

Self-other awareness

At the heart of drama and theatre are opportunities to imagine oneself as the other (Neelands, 2001). However, in the data, only one respondent, Lynn, made reference to 'self-other awareness' (page 129). Respondents did not make the connection between utilising empathy as a tool when working in different applied theatre settings, nor in the development of the client-facilitator relationship, particularly if there was a breakdown in communication. This was quite surprising because, as Aden (2010) asserts, drama techniques provide the capacity to see oneself as another. The actor enters the world of the other to learn about the perspectives of the other (Henry, 2000), or the facilitator enters the world of the other – the client. Specific drama techniques to do this are outlined in the Literature Review (page 23 and page(s) 59-61). Therefore, it would be helpful if the student was able to identify quite clearly between the self and other with whom s/he is working, to develop the client-facilitator relationship and employ appropriate drama techniques. The self-other awareness is another intersection between social work and applied theatre settings and where interdisciplinary knowledge is being adopted to help the student appreciate the client-facilitator relationship and develop as a multidisciplinarian facilitator (Prendergast and Saxton, 2009). Gerdes and Segal (2011) proposed that self-other awareness can help the student disentangle their own feelings from the feelings of others. Furthermore, Gerdes and Segal (2011) suggested that, whilst it might appear a counterintuitive position, empathy cannot exist without a strong sense of self as separate from the other.

There are a range of empathy and sympathy drama techniques, as outlined previously, which can be utilised to help the student explore the self and other in an explicit manner. The drama techniques require the student to reflect from the perspective of the self and that of the other (page 49) - something which the student may never have had an experience of.

Summary

By undertaking this research, reading literature from multidisciplinary fields of study and particularly the intersection between social work, it has helped to develop my own way of thinking about the concepts of empathy and sympathy in applied theatre settings, particularly in the client-facilitator relationship and the choice of drama techniques to use. When I first started out on the research, my ontological position was that I believed that empathy and sympathy in applied theatre settings were concepts that would be experienced by students in a multitude of different ways. However, I did not consider empathy and sympathy as being fundamental to applied theatre practice, a position that has changed due to the research undertaken. As a result of undertaking this research I now believe that the student would be a more informed applied theatre graduate if, by the end of the three-year programme of study, s/he had an understanding of empathy and sympathy. At this juncture, I am not proposing that one concept is more preferable than the other, which might seem counterintuitive. Rather I consider that the terms are intersubjective and have a shared relationship when working in an applied theatre setting as both are feelings that concern the self and other. Furthermore, in the development of the models and frameworks developed to discuss the findings, I have presented sympathy as part of the empathy process. Therefore, by having an understanding of empathy and sympathy, the students' professional behaviours would be developed, which could affect their social relationships and, particularly, the client-facilitator relationship in different applied theatre settings.

Critical reflection on the research process

Throughout the research process, as well as personal learning in terms of research skills and use of methodology and instruments, the process itself led to personal development. The quality of responses and understanding by the participants of the concepts of empathy and sympathy, appeared to develop through the research process. This was evidenced in the responses to interview two and the focus group and particularly when the participants referred to their own practical placements. The practice of drama and the work of Stanislavski, Brecht and Boal contribute to the

understanding of the concepts by providing practical techniques. The participants understanding of the concepts had also been developed by actively engaging in the research activities, which was one of the intentions of the research.

Whilst I had an appreciation of the contribution drama praxis has in terms of practically exploring the concepts of empathy and sympathy, I chose not to undertake a practical approach to the research. This was primarily in response to the challenge of providing a definition and how to formulate practical elements to explore concepts that I found initially difficult to conceptualise. Furthermore, I wanted to employ data collection tools that would address the research questions, stated on page 11, which would enable rich, thick data to be captured and analysed.

In this section, a critical reflection of the research process is provided, framed around two key themes that emerged: one) Development of deeper thinking about the issues raised, and, two) Improvement in my own practice.

Development of deeper thinking about the issues

As the research progressed so did my own thinking and knowledge. I began to think more deeply about the issues raised (Rarieya, 2005; Malthouse, Roffey and Barensen, 2013) and moved from the surface-active level to a deeper perspective (Entwhistle, 2001). This required a shift from just the identification of facts and information to adopting a more critical perspective by analysing and interpreting text (Entwhistle, 2001). Initially, I found it quite challenging to construct my own ontological and epistemological positions, particularly in relation to providing definitions of empathy and sympathy, due to the lack of literature within my own field and reading of multidisciplinary literature. Throughout the early stages I found it frustrating and challenging to interpret and synthesise published works from multidisciplinary fields of study because I was reading works outside my own field of study. Torrance and Thomas (1992) suggest that expanding the literature review into other fields can complicate and confuse the discourse conventions of my own discipline, which, in the early stages, I found to be the case. However, as the research progressed, this particular aspect of the work became a strength. The multidisciplinary literature helped in the development of my own thinking and knowledge because I had moved

from my own field of study. I was able to start to make comparisons and contrasts between the different theoretical frameworks outlined in the multidisciplinary literature and, specifically, social work. I began to synthesise the studies read, to ensure that the arguments presented were grounded in evidence, and developed the theoretical framework that was utilised in the data analysis (page 103) and discussion of the findings (page 112). Furthermore, I began to appreciate that the work I was undertaking was also contributing to a wider debate in regard to the definitions of empathy and sympathy as outlined on page 13.

Improvement in own practice

By undertaking the research, I have reflected upon my own professional practice and considered improvements that could be made based upon my findings. One aspect of the reflection was to identify any opportunities where the concepts of empathy and sympathy could be introduced in a more explicit manner. As a result of the findings, I concluded that there were seven modules where it would be ideal to introduce the concepts of empathy and sympathy: one) Drama Skills; two) Community Arts; three) Introduction to Drama; four) Theatre in Education (TIE); five) Community Orientation; six) Performance Project, and, seven) Educational Drama (Process Drama). Cheryl also stated Professional Practice and Barry, Global Perspectives. Furthermore, Cheryl and Gina concluded that there are opportunities to consider empathy and sympathy in all of the modules, either in an implicit or explicit way.

The multidisciplinary literature, however, provided interesting parallels to my own field of study and new divergent theoretical frameworks emerged that I had not previously considered and which I thought could have an impact on my own practice. As the research progressed, and the data was analysed, I began to synthesise and modify models and frameworks from the multidisciplinary literature to create new teaching and learning pedagogies and as a lens through which to consider the discussion of the findings. Subsequently, the new pedagogical models, outlined in discussing the findings (page(s) 143-152), would also be employed in the development of an Empathy and Sympathy Resource Pack. The models and frameworks would help the student to understand the concepts of empathy and sympathy in a more explicit

manner. The development of the new teaching and learning pedagogies also helped to develop my own knowledge and understanding of the concepts of empathy and sympathy and to improve my own professional practice. I had developed my own thinking beyond the field of applied theatre by relating to pedagogical models and frameworks from multidisciplinary perspectives.

Chapter 5.   Conclusion and Recommendations

The research conducted was a qualitative constructivist/interpretive investigation with two questions:

1. As part of the preparation of students to work in applied theatre settings what importance, if any, are the concepts of empathy and sympathy?
2. Can empathy and sympathy be learned and practiced, and if so, what pedagogical techniques are effective?

Within the literature authors such as Heathcote (1989), Neelands (2001) and Shaughnessy (2012), suggest that drama is a good vehicle to explore empathy, yet in respect of research question one, the data indicated that students found it difficult to provide definitions or describe empathy and sympathy with any clarity. Students also demonstrated confusion and misunderstanding over describing the concepts of empathy and sympathy. Therefore, to help the students in their understanding of the concepts, and to begin the discussion around developing their own definitions of empathy and sympathy, the definition outlined on page 46 would be initially introduced. Also, whilst metaphors are used frequently in the literature (Heathcote, 1989; Day, 2002; Gair, 2008; Sobel, 2008), only Cheryl, Moira and Julia made reference to a metaphor (page(s) 113-115). Therefore, to further their deliberations, the metaphors utilised for the data analysis, and outlined on page 33, would also be a prompt for the discussion.

Whilst the respondents found it difficult to provide a definition or describe the concepts, they utilised indicators of empathy and sympathy (page 106) in their attempts to define and interpret the concepts. Nevertheless, there was still some confusion evidenced regarding the concepts of empathy and sympathy when indicators of one, was used to describe the other, and vice versa. The majority of the students found it difficult to distinguish between the concepts of empathy and sympathy (page 116), which could be due to their not being able to provide a coherent definition or describe the concepts. Carol, Barry and Cheryl found it difficult to differentiate between the two. However, the data for research question one highlighted that there was a consensus of opinion that it was important to be able to distinguish between the concepts of empathy and sympathy, because of the client-

facilitator relationship, and choice of drama activities to use, when working in applied theatre settings. Cheryl concluded it was important to be able to distinguish between the concepts of empathy and sympathy because (page 119):

> …if you can't understand your client group then you've got no chance of working effectively with them… if you can't sympathise or empathise or understand the client group then you could go at it and either not challenge them enough, so that they can't fulfil themselves (sic) in the project or you can hit them with such a topic that they have negative effects and that can affect them long after you are gone as well…

Key findings identified by all of the students were the importance of the client-facilitator relationship in applied theatre settings and how empathy and sympathy could be utilised to help work with people from a diverse range of community groups. Whilst a number of modules on the BA(Hons) programme of study considered the needs of the client group in different applied theatre settings such as the Community Orientation module and Performance Project module, the development of the client-facilitator relationship was not explicitly considered. Therefore, I concluded that, in respect of research question one, the concepts of empathy and sympathy in the preparation of students to work in applied theatre settings have an importance and ought to be considered in all modules.

In response to question two, there was evidence within the data that cognitive empathy and sympathy, as part of an empathetic process, could be taught (page 145). The students stated that the concepts of empathy and sympathy had probably been considered on the programme of study only in an implicit way. Cheryl and Moira proposed that the concepts of empathy and sympathy could be considered at the beginning of the course and in an explicit manner. Gina and Cheryl both acknowledged that all modules studied on the three-year programme of study ought to include some consideration of the concepts of empathy and sympathy because of the work undertaken in different community groups. Furthermore, Barry identified empathy and sympathy as tools that can be employed depending upon the situation, and if the concepts were taught, could help the student work in different applied theatre settings and with different client groups. However, it is accepted that there are students who will have a greater capacity to empathise with others due to either

having inherent personality traits to do so, or being open to developing their own personal capacity, and those students who do not, or cannot, experience affective empathy or sympathy. Cheryl identified this, and it is outlined on page 142. However, Cheryl also advocated caution and stated on page 142:

> I think teaching empathy and sympathy is a very difficult task. I think there is only so much you can teach about empathy and sympathy. I think you can give them the opportunity in which to experience different stories…in which to build their own opinion on… there is nothing you can do to make someone feel sympathy because if they don't want to they aren't going to, if they're not interested they are not interested.

Therefore, the data would suggest that there is a gap in the students' knowledge and understanding of the concepts of empathy and sympathy and there is a need for specific teaching and learning pedagogical techniques to provide the students with opportunities to 'experience different stories' and to help make the 'implicit explicit'.

Making the implicit explicit

Teaching the students, the concepts in a more explicit way would help develop their knowledge and understanding and they would thus become more informed applied theatre graduates because of their deeper understanding of empathy and sympathy. Therefore, to help make the implicit explicit, it is recommended that an Empathy and Sympathy Resource Pack be developed. It is envisioned that this pack will contribute to new professional knowledge, whilst supplementing and complementing the current teaching and learning pedagogy that is provided on the BA(Hons) programme of study and on other HEI's programmes of study. A constructivist learning model (Yuen and Hai, 2006) would be the foundation on which the pedagogical models would be based to help explain to students the concepts of empathy and sympathy within applied theatre settings.

Cognisant of the data findings, the intention of the Empathy and Sympathy Resource Pack is multifaceted. It is envisaged that, to assist the student to become a multidisciplinarian facilitator (Prendergast and Saxton, 2009), concepts and methods from other disciplines (QAA, 2015) will be considered, drawing parallels with the intersection between social work and that of the applied theatre facilitator. Moreover,

it would help create a new way of thinking for students working in applied theatre settings, particularly in their development of the client-facilitator relationship. The intention is for the student to become a 'social agent' (Kuftinec, 2001: 46), a facilitator who is responsive to the needs of the client group and who can focus on providing social awareness by responding to social issues and change (Dalyrmple, 2006; McCammon, 2007; Chinyowa, 2011), which is at the heart of applied theatre work. Barry clearly articulated this on page(s) 119-120, where he stated:

> I think they have an importance because at the (sic) what we are doing in applied theatre in drama is a social science, we are working with other people, so we need to be able to connect with other people so that we can kind of know whether we are helping, knowing what the situation is, how we can help. So, it is definitely important, because you are working with other people.

In addition, the resource pack will help the student become more confident in identifying specific empathy and sympathy drama techniques that could be utilised in different applied theatre settings. The data identified some of the empathy and sympathy pedagogical techniques that are employed on the BA(Hons) programme of study (Table 4-2, page 140). However, the range of drama pedagogical techniques supplied by the students was quite limited in scope (page 138). Therefore, the new, modified, models and frameworks developed from social work and applied theatre that were employed effectively to discuss the findings (page(s) 143-152), would be included in the Empathy and Sympathy Resource Pack:

- The Four-quadrant matrix model of empathy and sympathy in applied theatre settings
- Model of empathy and sympathy in the client-facilitator relationship in applied theatre settings
- Framework for empathy and sympathy in applied theatre settings
- Model of empathy and sympathy in the client-facilitator relationship in applied theatre settings utilising sympathy drama techniques

These models and frameworks would be a starting point to help students learn and practice the concepts of empathy and sympathy, particularly in the Community Orientation and Performance Project modules. Furthermore, reference to the data outlined to exemplify the models and frameworks would help the students' understanding of the concepts in a more explicit manner (page(s) 143-152). It would also enable the students to recognise empathy and sympathy in action, another key

finding of the data (page 130). Identifying empathy and sympathy in action is a strong concept for teaching the concepts (page(s) 143-152). The different learning approaches would be a good introduction for students to begin the discussion about empathy and sympathy within applied theatre settings and their own experiences and interpretation of the concepts.

There are examples within the data and literature review that confirm that empathy can be taught using carefully sequenced dramatic conventions (Neelands, 2004) with the appropriate choice of drama activities (page 120). However, how these dramatic conventions are translated to the client-facilitator relationship is unclear. Therefore, the Empathy and Sympathy Resource Pack would include a range of different empathy and sympathy drama techniques that would provide opportunities to engage the students in experiential learning and explicitly consider the concepts. The students would participate in different drama techniques and deconstruct them in relation to the client-facilitator relationship, as outlined in the Intersection with social work section (page 125). These would be practical experiential workshops to explore empathy and sympathy in order to consider the development of the client-facilitator relationship (page 125). The connection to the client-facilitator relationship from a social work perspective is a contribution to new knowledge in applied theatre practice and could also have merit in social work practice. For example, the students could discuss the Framework for empathy and sympathy in applied theatre settings in relation to their own experiences (Figure 4-3, page 150). Participation in self and other drama techniques would enable the student to develop a strong sense of self and then consider how this could relate to the client-facilitator relationship in applied theatre settings. By exploring different empathy and sympathy drama techniques, the concepts of empathy and sympathy can be considered in an explicit fashion. This would enable the student to increase his/her own knowledge and understanding of existing drama techniques, as well as the key concepts, and their application to the client-facilitator relationship.

Limitations

Whilst conducting the research, there were, inevitably, some challenges that were encountered. Mercer (2007) advises that consideration ought to be given to what colleagues and students are told before and after they participated in the research to ensure that the study was not contaminated. At times this aspect of the research proved to be a challenge, particularly due to my adopting the role of practitioner-researcher. When I was in the role of lecturer, and students enquired about the nature of the research I was undertaking, I did not want to provide too many details in order to ensure that the responses made by the students were not influenced or contaminated by my perspective. Furthermore, in the data collection phase, there were incidents where participants were demonstrating confusion or misunderstanding over the concepts of empathy and sympathy that, as an educator, I would have discussed further to help their understanding. However, as a researcher, this was not appropriate, as the purpose was to elicit the participants' own understanding and interpretation.

The time-frame of the research was problematic for four primary reasons: one) the academic demands of the participants; two) the academic demands on my own professional practice; three) studying the EdD part-time, and, four) changing jobs and moving to a new employer.

The academic demands on the participants and the voluntary nature of taking part in the research resulted in the decision to invite only those students that I was teaching and mentoring. The rationale for this was that I understood what academic demands the students were under as I was their lecturer and, in the Performance Project module, mentor to eight students. I was then able to plan around their availability to facilitate their participation. However, whilst a purposive sampling approach was always the intention, the study could have benefited from a wider range of participants who were mentored by other members of staff to provide a more diverse perspective. Also, by choosing to work with third year students, it meant that the time-frame was restricted because they would be leaving at the end of their final year.

The academic demands on my own professional practice impacted on the time-frame of when I could administer the data collection tools and also links to studying the EdD part-time. Each semester had a natural rhythm that included designated teaching, assessment and marking weeks, university and student events and holidays, which meant the time-frame was, again, quite restrictive as I was relying on student participation in the research. When I had blocks of time to undertake research, usually during holiday periods, the students were not available. Therefore, I had to ensure deadlines were adhered to, and schedule appointments around the availability of the student to ensure their participation.

To further compound the issue, changing jobs to a new employer mid-way through the research meant that the original planned time-frame had to be modified to ensure that all of the data was captured before leaving for the new job. This also meant that any areas of potential interest that had arisen in the data collection were not immediately discovered and investigated because the data analysis phase took place months after the data capture had happened, and when both the students and I had left the HEI. For example, one area that presented itself in the data that would have been interesting to investigate in more detail was whether a person could express empathy for people whose background and life experiences are totally different for their own. This could be an area of future research and is outlined in the What next? section below.

It is also acknowledged that within the multidisciplinary literature, measurements and scales are utilised to measure empathy (Escalas and Stern, 2003; Gerdes, 2011). Gerdes, (2011) proposes, Levels of Emotional Awareness Scale, Interpersonal Reactivity Index to measure perspective taking, Self-Report Cognitive Emotion Regulation Questionnaire to determine Emotional Regulation, and Self Report Toronto Empathy Questionnaire to measure Affect. However, after consideration, I concluded that the type of data required to address the research question was primarily concerned with the students' understanding of the concepts of empathy and sympathy and to elicit thick, rich, data. Therefore, these types of measurements were not appropriate.

What next?

The new pedagogical models and frameworks utilised in the development of Findings and Discussion section (commencing page(s) 143-152) are intended to engage applied theatre practitioners, researchers, academics and students in a critical discussion in relation to the usefulness of them in their own practice. Furthermore, I believe that they provide opportunities for academics and students to explore the concepts of empathy and sympathy in an explicit manner. There is also scope for academics within the field of social work to consider the models and frameworks within their own practice in order to widen the interdisciplinary debate about the usefulness of them. Furthermore, the introduction of the Teaching and Learning Resource Pack would be researched to ascertain the effectiveness of the resources in helping the student to understand the concepts of empathy and sympathy, the client-facilitator relationship and the choice of drama techniques to use in different applied theatre settings.

There is scope for further research to be undertaken to explore what is meant by the respondents 'to help' (page 129) the client, because it could have both positive and negative consequences on the applied theatre work undertaken and the client-facilitator relationship. Also, further research could be done into whether someone can really empathise with situations that are wildly different to their own, for example, working with refugees (Gair, 2008). Whilst the drama techniques require the utilisation of empathy, can this be easily transferred to the client-facilitator relationship if the client or clients experience is so dissimilar? Within the multidisciplinary literature this is a contested position (Preti et al., 2010; Gerdes et al., 2011) and therefore would warrant further investigation.

There also needs to be consideration that cultural differences might have a negative impact on the drama techniques utilised (Baldwin, 2009) and the client facilitator relationship. I believe therefore, further research needs to be undertaken to investigate this.

In regard to emotional regulation, this could be another area for future research to help students protect themselves when working with clients whose experiences affect them and/or are wildly dissimilar to their own. The distancing techniques are a starting

point, however, emotional protection is something else. So how do we teach students emotional-regulation? I suggest, the empathy and sympathy drama techniques, and self-other techniques outlined in the Conclusions and Recommendation chapter (page 162), could be employed to begin the investigation into this. Mindfulness techniques, identified by Gerdes and Segal (2011) as an emotional-regulation technique, could be introduced into certain modules to explore the effectiveness and relevance to students working in applied theatre settings.

Appendices

Appendix One – Ethical approval form: human participants

This form must be completed for each piece of research activity whether conducted by academic staff or doctoral research students. The completed form must be approved by the designated authority within the institution.

Applicant details

Name of applicant(s)	Karen Dainty

Member(s) of staff	
Doctoral research student(s)	Karen Dainty
Supervisor(s)	John Sharp and Kate Adams (Pilot Study) Chris Atkin and Yvonne Hill (Research Phase)
Role(s) in relation to research	1st Supervisor and 2nd Supervisor

Project title

Empathy and Sympathy in applied theatre: Implications for the undergraduate student

Brief description of project

[Include details of title, research questions, objectives, start and completion dates, sample selection and recruitment, methods.]

Theoretical background to project

Empathy and Sympathy in applied theatre: implications for the undergraduate student

The proposed piece of qualitative research outlined here is part of a doctoral programme of study. The intention of this work is to create new knowledge through my own practice and through workplace learning and research (Lunt, 2002: Taysum, 2007). The research is an investigation into how, if at all, are the concepts of empathy and sympathy in the preparation of students to work in applied theatre settings. Furthermore, I want to establish, whether the student is able to distinguish between their own experiences of empathy and sympathy when working in different applied theatre settings. Arguably, this is important because of the sensitive nature and diverse range of applied theatre settings in which the

work takes place. In order to do this, it is proposed that a pedagogical model for teaching empathy and sympathy needs to be developed. The research project will consist of a questionnaire, focus group and two semi-structured interviews with a selected number of undergraduate students.

Background

Whilst working as an academic in the field of applied theatre with undergraduate students I have become increasingly interested in how important, if at all, are the concepts of empathy and sympathy in the preparation of students to work in applied theatre settings. Furthermore, I want to establish whether the student is able to distinguish between their own experiences of the concepts of empathy and sympathy when working in different applied theatre settings. Arguably, it is important because of the sensitive nature and diverse range of applied theatre settings in which the work takes place. In applied theatre settings, the student is being developed to take on the role of a 'social agent' (Kuftinec, 2001), someone who focuses on providing social awareness and is responsive to social issues and change (Chinowa, 2011, McCammon, 2007, Dalyrmple, 2006), and working as a facilitator who is a 'multidisciplinarian' (Prendergast and Saxton, 2009). It is a multidisciplinary role because knowledge of theatre and how it works is required with an understanding of teaching and learning pedagogies (Prendergast and Saxton, 2009). On the undergraduate programme of study that I teach, the student has numerous opportunities to work in diverse community settings. These include prison, senior citizen day care centres and with organisations such as Age Concern, NSPCC, NACRO and Action for Young Carers. Experience suggests that the choice of setting will undoubtedly involve, explicitly or implicitly, a position somewhere on the empathy and sympathy continuum, regardless of the continuum itself or an understanding of the concepts involved. Furthermore, this will inform the appropriate theatre techniques and teaching and learning strategies employed to develop the applied theatre work. The different settings draw upon different discourse and pedagogies for example, as Balfour (2009) asserts, Prison Theatre draws upon a range of criminology and therapeutic models such as cognitive behaviour, and in Theatre for Development, development discourse. Furthermore, Webster (2010) asserts that, in order to select the best teaching strategy an understanding of the differences in the concept of empathy is required, and I would also suggest sympathy, because it is dependent upon the applied theatre setting in which the undergraduate is working. Therefore, it would seem it is vitally important that the student can identify the differences between empathy and sympathy and understand how this impacts on the work being done in applied theatre settings. In addition, there are pedagogical implications for teaching the undergraduate the empathy and sympathy continuum and the concept itself.

Whilst in recent years there has been a growing body of literature into applied theatre, including the works of Brian (2005), Etherton and Prentki (2007), Chinyowa (2011), Neelands (2007), Nicolson (2005), Ackroyd (2000), Balfour (2009, 2005), Thompson and Schechner (2004) and an increasing amount of literature relating to the potential for participants to increase their capacity for empathy by actively engaging in applied theatre projects Day (2002), Hughes et al. (2007), Dennis (2008), it would seem that there is very little regarding the importance of empathy and sympathy for those responsible for developing and leading such projects. Furthermore, there is very little relating to the pedagogy of teaching the empathy and sympathy continuum to undergraduate students who are studying and working in applied theatre settings, which prompted this research and is the point of departure. Therefore, it is proposed that the research will focus on undergraduate students to explore the concepts of empathy and sympathy and to investigate the importance these concepts have in applied theatre settings. The research questions are:

- As part of the preparation of students to work in applied theatre settings what importance, if any, are the concepts of empathy and sympathy?

- Can empathy and sympathy be taught and if so what pedagogical techniques are effective?

Participants

The sample for the study will be drawn from students studying the BA(Hons) Drama in the Community programme of study. Participation in the research will be on a voluntary basis. The focus group will be conducted under normal professional practice and participants for the semi-structured interviews will be selected on a voluntary basis after participating in the focus group.

Timeline

Start and completion Dates for the Phases of the Research:

Study: February 2014 – June 2014

Phase 1: Study to receive approval from the BG University Ethical Board in February 2014.

January 2014 - Preparation of research tools to be utilised in the study including a questionnaire, individual interviews, workshop and focus group. This will be conducted under the supervision of the first supervisor.

Phase 2: Research -March – July 2014

A questionnaire to elicit initial responses to the importance, if any, of the concepts of empathy and sympathy to be completed by third year students at the start of the Community Orientation module.

4-6 participants to participate in a focus group to discuss the concepts of empathy and sympathy within different applied theatre settings which will be led and facilitated by the principal researcher as part of normal professional practice. This will be audio-video recorded for documentary purposes and then utilised for analysing the data.

2-3 participants will then be selected from the focus group to participate in a semi-structured interview to explore the concepts of empathy and sympathy within applied theatre settings in more depth and detail.

Individual interview(s) with third year students at the commencement, mid-way and at the end of the Community Orientation module and Performance Project module to investigate the importance, if any, of empathy and sympathy in applied theatre work.

The third-year participants will also be encouraged to complete Reflective Practice, through specific questions, for critical reflection to be completed at different stages throughout the project, for example, at the start, mid-point and at the end.

It is envisaged that this phase of the research will be conducted within normal professional practice under the supervision of the first supervisor and within Bishop Grosseteste University teaching and learning practice and policy.

Phase 3: Analysis of findings - August 2014 - June 2016

Phase 4: Writing up the findings – January 2015 – July 2016

Phase 5: Final thesis presentation – June – September 2017

The researcher is confident that the proposed research methods are fit for purpose and that she has the

necessary competent skills to carry out the research.

Principal investigator (including phone number and e-mail address)

Karen Dainty

Karen.dainty@bishopg.ac.uk

01522 58377 or 07711788636

Location(s) at which the project is to be carried out

BGU

Identification of the ethical issues involved and how these will be addressed

[Include, where appropriate, attention to vulnerable groups, sensitive subject matter or materials, informed consent, data collection, storage and security, confidentiality and anonymity, risks, harm.]

The following parties have been identified as requiring ethical consideration:

- The students;
- The university;
- The principal researcher.

Ethical considerations with regard to the students

The primary consideration for the researcher is to ensure that the research and dissemination will be carried out with the best interests of those individuals who are the subject of the research. All data collected from participants will be confidential and the anonymity of participants assured in the dissemination of the research. At the end of the research project participants will be provided with information about the nature of the study and if any misconceptions have arisen every effort will be made to remove them.

Ethical considerations with regard to the University

The research will comply with the Bishop Grosseteste University Ethics policy and that of the British Education Research Association (2011). It will also comply with the appropriate Bishop Grosseteste University teaching and learning professional codes of practice and appropriate policies.

It is acknowledged that the researcher is responsible for not bringing the University into disrepute during or in any subsequent publications that follow the completion of the research.

Ethical considerations with regard to the principal researcher

It is understood by the researcher that she always retains the responsibility for ensuring ethical practice

in the research and its dissemination. That she is also responsible for the ethical treatment of participants by other students and employees. As such, an appropriate Risk Assessment will be completed prior to the commencement of the research project.

It is acknowledged that there is the potential conflict of interest in the research as a result of the researcher's position at the HEI (that of insider research) so appropriate safe-guards will be put in place, such as designing a 'participant contract', allowing voluntary participation and adhering to appropriate Bishop Grosseteste University codes of practice and teaching and learning policies.

At the commencement of the research project all participants involved will be informed of the content; why their participation would provide an interesting perspective; how the data will be utilised; to whom it will be reported; the anonymity of the information and its dissemination. A 'participant contract' will be designed that outlines all aspects of the research for all participants to read and sign prior to the start of the research. The contract will also outline the procedure for withdrawal due to any stress and potential harm, and how to contact the researcher about any related questions/concerns that arise during the research.

Whilst participation is voluntary, selection will adhere to the Bishop Grosseteste University College's Diversity and Equality policy. The design of the research will respect the interests of all social groups whatever their age, disability, race, ethnicity, religion, culture, gender or any other characteristic.

Participation in the workshop and focus group research is voluntary whilst occurring during normal professional practice and within BG University College practice and teaching and learning policy. The workshop and focus group will form part of the participants course work and those who choose not to participate will not be disadvantaged in any way. Full disclosure will be given to participants of the nature of the research being carried out and that data will be captured during normal professional practice. The semi-structured interviews will take place outside of the participant's normal studies and will involve two or three participants selected from the focus group and it will be on a voluntary basis.

The researcher respects the individual's right not to participate or to withdraw at any time from the research. It is acknowledged that, due to the researcher's normal position at Bishop Grosseteste University, participants may not feel comfortable in voicing concerns or desire to withdraw and as such an appropriate confidential procedure will be designed and outlined in the 'participant contract'.

It is envisaged that wherever possible during the research the researcher will endeavour to engage in collaborative decision-making with those being researched.

At the end of the research project participants will be provided with information about the nature of the study and that if any misconceptions have arisen every effort will be made to remove them.

The researcher accepts the importance of respect for the integrity of knowledge and will adhere to appropriate referencing conventions and be sympathetic to the needs of the wider research community.

Ethical considerations regarding the storage and use of data

All confidential information will be stored securely at the University. The data will be stored on a Hypertec Slimline Flash Drive Encrypt Plus USB Flash Drive – 4GB, to ensure the security and confidentiality of the data.

All data collected will adhere to the UK Data Protection Act 1998 (and/or any subsequent amendments or successors of the Act) and the data will not be shared with third parties.

The raw data will be destroyed after a period of 3-5 years when the thesis stage and dissemination has been completed. An audit procedure will be developed to ensure the integrity and security of electronic and paper data storage.

Anonymity of all data will be maintained to ensure that the data set cannot be connected to an individual participant.

Media release forms will be completed by the participants for the audio-video recordings with assurances that the data will only be utilised for the purposes of the research project and its subsequent publication. The audio-video recordings will be stored at University in a secure location.

Signature(s) of applicant(s) and date

I certify that I/we have read the University College's Research Ethics Policy and have attempted to identify and address all of the ethical issues associated with working with human participants arising as a result of this project.

Signed: *K. Daity*   Date: 6/9/13

Appendix Two – Information Letter for Consent to Participate in Research

Date: 27 February 2014

Research Project Title: Empathy and Sympathy: a discourse analysis of undergraduate student perception and understanding of its importance within applied theatre

Principal researcher: Karen Dainty, Senior Lecturer in Applied Theatre and Drama Education

Dear student:

You are asked to participate in a piece of research that is being conducted by Karen Dainty, as part of a doctoral programme of study.

The Information Letter for Consent to Participate in Research provides you with an outline of the research that is being carried out. It explains to you clearly and openly all the steps and procedures that are involved in the research. The information is to help you to decide whether you want to take part in the research as participation is voluntary.

Please read the information carefully.

If you agree to participate in the research please sign the enclosed Consent Form. By signing the consent form you are confirming that you have:

- Understood what you have read;
- Had a chance to ask any questions and received satisfactory answers;
- Consent to taking part in the project.

You will be given a copy of the Information Letter and signed Consent Form.

If you have any queries or questions concerning the research please do not hesitate to contact Karen at karen.dainty@bishopg.ac.uk or telephone 01522 583777.

Karen Dainty

Senior Lecturer in Applied Theatre and Drama Education

Information letter for Consent to Participate in Research

Purpose of study

In this piece of research, I am investigating how important it is for undergraduate students to understand the concepts of empathy and sympathy. I want to explore how important it is for students to be able to identify where they are on the 'so called' empathy and sympathy continuum for each applied theatre project undertaken. Arguably, it is important because of the sensitive nature and diverse range of applied theatre settings in which the work takes place. Therefore, in order to do this, it is proposed that a pedagogical model for teaching empathy and sympathy needs to be developed. The research questions are:

- How important is it for the student to be able to identify where on the 'so called' empathy and sympathy continuum they are positioned for each project undertaken?
- Can empathy and sympathy be taught and if so what pedagogical techniques are effective?
- How do you teach students how to identify the differences between empathy and sympathy when working in applied theatre settings? Is it an implicit or explicit exercise?

Procedures

Participation in the piece of research is voluntary and consists of participating in a workshop, focus group and a semi-structured interview. The workshop and focus group will be conducted with participants under normal professional practice. Participants for the semi-structured interviews will be selected on a voluntary basis upon completion of the workshop and focus group.

Potential risks and discomforts

There are no anticipated risks or discomforts associated with the study. However, if you have any queries or concerns relating to the research and do not want to voice these concerns with the researcher, you can contact the research supervisors by email, in confidence to:

1st supervisor: John Sharp john.sharp@bishopg.ac.uk or

2nd supervisor: Kate Adams kate.adams@bishopg.ac.uk

Potential benefits to participants

The potential benefits to participants in the research include:

- Developing an awareness of the concepts of empathy and sympathy that can be utilised in their own practice.
- Participation in activities that explore the concepts of empathy and sympathy can help the participants to develop their own knowledge and understanding of the concepts.
- Exploring the importance, if any, of empathy and sympathy in different applied theatre settings can help the participants in their own work.

- Provide data that can be utilised to develop a teaching and learning pedagogical model that might utilised in their own practice.

Confidentiality and anonymity

All data collected from participants will be confidential and the anonymity of participants assured in the dissemination of the research. The researcher acknowledges the participants' right to privacy and accord them their rights to confidentiality (BERA, 2011). However, it is important to state that the role of a researcher is to report on the findings of the research, which cannot be done if the information is confidential and not to be revealed. Therefore, the information will be anonymised and every effort made to ensure that the participant cannot be identified. However, the researcher also acknowledges that the issue of 'disclosure' may present itself in the research. BERA (2011: 29) states,

> 'Researchers who judge that the effect of the agreements they have made with participants, on confidentiality and anonymity, will allow the continuation of illegal behaviour, which has come to light in the course of the research, must carefully consider making disclosure to the appropriate authorities. If the behaviour is likely to be harmful to the participants or to others, the researchers must also consider disclosure. Insofar as it does not undermine or obviate the disclosure, researchers must apprise the participants or their guardians or responsible others of their intentions and reasons for disclosure.'

At the end of the research participants will be provided with information about the nature of the study and if any misconceptions have arisen, every effort made to remove them.

All confidential information will be stored securely at the University and an encryption programme installed on the laptop and PC being utilised such as www.truecrypt.org. The laptop and PC requires password authentication. Furthermore, the data will be stored on a Hypertec Slimline Flash Drive Encrypt Plus USB Flash Drive – 4GB, to ensure the security and confidentiality of the data. The USB Flash Drive will be solely used for the purposes of the research and encrypted from the beginning of the pilot project. The flash drive will be securely stored in a filing cabinet in my office when not in use.

All data collected will adhere to the UK Data Protection Act 1998 (and/or any subsequent amendments or successors of the Act) and the data will not be shared with third parties.

Recording of research

For documentation purposes the workshop and focus group will be filmed. You will be asked to sign a consent form prior to the start of the research. The semi-structured interviews will be taped and transcribed.

Payment for participation

There is no payment for participation as it is on a voluntary basis.

Participation and withdrawal

You can choose whether you want to participate in the research at any time up to the point of the semi-structured interview being conducted. You may refuse to answer any of the questions presented to you and still remain in the research. However, you may be asked to withdraw from the research as a result of a disclosure being made and/or as a result of any other circumstances arising.

Feedback of the research to participants

Once the research has been completed a brief report will be completed and disseminated to those interested.

Subsequent use of data

The data may be used in the development of the doctoral thesis, other academic purposes and subsequent publications.

Rights of research participants

You may withdraw your consent at any time and discontinue your participation without penalty. If you have any questions regarding your rights as a research participant, concerns and/or complaints about the project, or the way it is being conducted and would like to speak to someone independent of the project, please contact either John Sharp at john.sharp@bishopg.ac.uk or Kate Adams at kate.adams@bishopg.ac.uk.

Yours faithfully

Karen Dainty

Senior Lecturer in Applied Theatre and Drama Education

Appendix Three – Research Participant Consent Form

Date:

Research Project Title: **Empathy and Sympathy in applied theatre: implications for the undergraduate student**

Principal Research: Karen Dainty, Senior Lecturer in Applied Theatre and Drama Education

Dear **(Name of participant):**

You have been asked to participate in a piece of research that is being conducted by Karen Dainty, as part of a doctoral programme of study. By signing the consent form you confirm the following:

- I have read the Information Letter for Consent to Participate in Research and I understand its contents.
- I have had an opportunity to ask questions and I am satisfied with the answers I have received.
- I believe I understand the purpose and extent of my involvement in this piece of research.
- I agree to the workshop and focus group being filmed for documentary purposes and for the semi-structured interview to be taped and transcribed.
- I voluntarily consent to take part in this piece of research.
- I understand that this project has been approved by Bishop Grosseteste University Ethics Standing Group and will be carried out in line with the British Educational Research Association Ethical Guidelines (2011).
- I understand I will receive a copy of this Information Statement and Consent Form.

If you have any concerns and/or complaints about the project, the way it is being conducted or your rights as a research participant, and would like to speak to someone independent of the project, please contact: John Sharp at john.sharp@bishopg.ac.uk or Kate Adams at kate.adams@bishopg.ac.uk

If you have any general queries or questions concerning the research please do not hesitate to contact Karen at karen.dainty@bishopg.ac.uk or telephone 01522 583777.

_____   _____   _____

Participant Name   Participant Signature   Date

Declaration by researcher: I have supplied an Information Letter and Consent Form to the participant who has signed above, and believe that they understand the purpose and extent of their involvement in this project.

_____   _____   _____

Research Team Member Name   Research Team Member Signature   Date

Yours sincerely / faithfully

Karen Dainty

Senior Lecturer in Applied Theatre and Drama Education

Appendix Four – Questionnaire Questions

Introduction
As an emergent student practitioner in the field of applied theatre, your comments, views and positions would be greatly appreciated. Responses to this questionnaire are confidential and any data used in the EdD assignment or any publication to follow will be anonymised.   This questionnaire will take approximately 20-30 minutes of your time.   Thank you in advance for your time and co-operation.

Name (will be deleted on completion of transcription and anonymised):

Please tick the appropriate box for the programme and year of study that you are currently on:		
BA(Hons) Drama in the Community ☐	BA(Hons) Joint Honours and Applied Drama ☐	
Year One ☐	Year Two ☐	Year Three ☐

1. When choosing which community group to focus on / work with for the Community Orientation module what factors did you take into consideration?
2. Why did you choose the specific community group?
3. How empathetic do you consider yourself to be with your chosen client group?

Not at all	Very little	Fairly well	Quite well	Very well	Perfectly
Please provide further details or examples to exemplify your answer:					

4. How sympathetic do you consider yourself to be with your chosen client group?

Not at all	Very little	Fairly well	Quite well	Very well	Perfectly
Please provide further details or examples to exemplify your answer:					

5. How easy/difficult is it for you to distinguish between being empathetic and sympathetic?

1 Easy	2 Fairly Easy	3 Good	4 Fairly difficult	5 Difficult

Please provide further details or examples to exemplify your answer:

6. How might you describe empathy within applied theatre work?

7. How might you describe sympathy within applied theatre work?

8. In your opinion are there certain applied theatre settings where it is more important to adopt an empathetic stance rather than a sympathetic stance or vice versa?

9. To what extent do you think it is important for an undergraduate student to be able to identify the differences between empathy and sympathy when working within applied theatre settings?

1 Unimportant	2 Of little importance	3 Moderately Important	4 Important	5 Very Important

Please provide further details or examples to exemplify your answer:

10. What effect (if any) do you think it would have on a project and its participants if the undergraduate student could not understand the importance of empathy and sympathy within an applied theatre setting?

Thank you again for your time and co-operation.

Appendix Five – Questions for semi-structured interview one and two

Questions for semi-structured interview one

Please state your name and the course you are currently studying.

1. What is your definition of empathy?
2. What is your definition of sympathy?
3. How easy or difficult is it to distinguish between the two?
4. What importance, if any, does being able to distinguish between empathy and sympathy have when working in applied theatre settings?
5. Can you identify the importance, if any, the concepts of empathy and sympathy have in applied theatre work?
6. Can you identify where on the course empathy and sympathy is considered?
7. Can you identify in which modules, if any, you think the concepts of empathy and sympathy are particularly relevant?
8. Are the concepts of empathy and sympathy explicitly or implicitly taught in these modules?
9. Can you provide a specific example?
10. Has the course or specific module(s) helped in your understanding of empathy and sympathy?
11. In which modules, if any, do you think it would be useful to consider empathy and sympathy and why?

Questions for semi-structured interview two

If we consider that:

Empathy is: 'I can imagine your experience by placing myself in your shoes'

Sympathy is: 'I can share your experience because I have worn the same shoes'

1. Can you provide any examples of how you have experienced empathy and/or sympathy on the course?
2. Can you provide any examples of how you have experienced/considered/used the concepts of empathy and sympathy on your performance project?
3. Can you identify any specific drama techniques/conventions that could be used to explore the concepts of empathy?
4. Can you identify any specific drama techniques/conventions that would require more of a sympathetic approach?

Appendix Six – Questions for the focus group

Case Studies - Spend 10 minutes discussing the following Case Studies. What advice would you give to a person working in the following situations?

Case Study One

You have been commissioned to work on an applied theatre project with a group of young people. However, after the first meeting you find them to be really disagreeable and even dislike some of them. What strategies do you think you could use to continue working with the group?

Case Study Two

You find yourself working on an applied theatre project with a group of participants that you find yourself becoming overly emotional with. Every time a person demonstrates an emotion, for example when one of the participants started to cry, you found yourself also crying. Would you continue to work with the group and if you would, what strategies would you put in place?

Case Study Three

You have been requested to work on an applied theatre project with a client group that you find are very different to your own personal experiences of life. You know that in order for the project to be successful you have to communicate effectively with them. Therefore, what strategies would you consider using to help you understand the group that you are working with and to communicate more effectively with them?

Case Study Four

You have been working with a client group for over a month and in that time you have started to find yourself feeling sorry for the clients and want to do everything you can to make their situation better. Would you continue to work with the group and if you would, what strategies would you put in place?

Case Study Five

You decide that the group that you want to undertake an applied theatre project with is a client group that is well known to you, because you experienced a similar situation/experience to that of the client group. What challenges, if any, do you think a project like this would pose? Would you continue with the project and if you would what strategies would you put in place?

And finally, please consider:

In what ways, if any, have the concepts of empathy and sympathy been considered as part of the discussion?

Appendix Seven – Extract of the Keyword Compilation Table developed from Carlsen et al., (2007) of questionnaire questions three, four, five and nine

Question 3 How empathetic do you consider yourself to be?	Question 4 How sympathetic do you consider yourself to be?	Question 5 How easy/difficult is it for you to distinguish between being empathetic and sympathetic?	Question 9 To what extent do you think it is important for an undergraduate student to be able to identify the differences between empathy and sympathy when working in applied theatre settings?
Struggle to empathise	Clients don't need sympathy	Empathy where you have been in same position yourself Sympathy where you haven't been there yourself and can provide comfort	Apply it to your group
Not necessarily good at empathising	Comfort people	Empathy can come from personal experience Sympathy more detached understanding of situations	Considerate of the group
Due to their backgrounds	Understand client	Empathy is putting yourself in their position Sympathy is feeling sorry for them	Confusion over the two
Previous experience	How to be sympathetic?	Empathy you can put yourself in their shoes Sympathy you can listen and understand	Empathy and sympathy often cross
Same/similar position	Can relate to clients	Sympathy is feeling bad for someone Empathy is understanding why someone feels that way	Teacher/practitioner practice

Appendix Eight –Example of data reduction exercise: Question two of interview one

- Can empathy and sympathy be taught and if so what pedagogical techniques are effective?

Interview One
Question: Can you identify any modules where empathy and sympathy are explicitly taught?

	Initial response	Themes identified
Theatre in Education. We were obviously dealing with sensitive issue such as, my group that I was in, um, alcoholism, and the group went into prison and obviously in a prison that is quite a sensitive subject. Again we, we had been, not that I know of and speaking personally I had never been through, that those particular sorts of topics myself so I suppose empathy was used there. And also, maybe with when looking at different practitioners, such as, Stanislavski you have to put yourself in a situation, instead of, or remembering something similar. The performance project where I'm working at. I'm working with a group of students who have English as a second language. I obviously don't have English as a second language so a lot of empathy is used there and yes every time we kinda (sic) work together, using different activities…To help gain their confidence… there's quite a big divide in the group, loud ones and some quiet ones and for the quieter ones it took a couple of weeks maybe three I think, and it was just a game of Charades, and it was kind of the actions I kinda (sic) noticed it was the actions were kinda (sic) helping them to understand what they were to do and then seeing everyone taking part and myself, they then joined in and kinda (sic) volunteering themselves. (MeBInt1) As far as I can remember, I could have been wrong as I might have been asleep that day (jokingly) there wasn't a lecture or anything where it was 'Sympathy today we are going to talk about this for three hours', so I think it was more sort of not necessarily mentioned in it, I can't think of the word like, integrated into it without realising it, like subliminally! *(Do you think it would it would be beneficial to be taught the different concepts or to*	Module Identified Sensitive issues Application of concepts/concepts in action Practitioner Module Identified Practical example Activity identified Implicit	

discuss them or whatever teaching really means within applied theatre contexts? KD)		
Yeah! I think yeah, especially with the kind of module like the modules we are doing now, I mean even though I'm sort of struggling to say which is which, there might be that **it would be better to have a session or even a bit of a session to say this is this and this is this and to be aware of them or not even be aware of them to have them in your mind.**		
(Yeah. Had you ever kind of considered that perhaps some of the drama activities that we use may have a foundation in empathy and sympathy and as such, caution or consideration ought to be given to which activities you use? KD)	**Links empathy and sympathy to the modules and considers it ought to be taught – not sure what the theme is!**	
No! I can't think of any. (LoCInt1) *She continues with:*		
Definitely, these ones now that are going on, dissertation and then possibly back into Theatre in Education and I don't know why I didn't say this already, what is the dance one?	Couldn't identify any drama activities that had a foundation in empathy and sympathy	
(Community Arts – KD)		
Community Arts that was dealing with things like isolation.	Module Identified	
(What about Educational Drama? Just out of interest in Educational Drama was empathy and sympathy discussed, referred to or more implicitly done? KD)		
I think it was more implicitly done. I can't remember a specific moment where it was. I mean it sort of like doing TiE but obviously it's different because it is process drama erm, if you have to be careful of the theme, like if it was touchy, I don't know if there would have been one, someone that had a theme like that I mean because we did Chinese New Year. I mean obviously, you got to be careful and I dunno (sic) teaching just the wrong thing, yeah! (sic) (LoCInt1)	Module Identified Implicit Module Identified Sensitive issue	

Appendix Nine - Detailed description of the five stages of Figure 4-2 Model of empathy and sympathy in the client-facilitator relationship in applied theatre settings

Stage One

Once the facilitator has considered which client to work with s/he undertakes a self-reflective exercise to ascertain whether s/he sympathises or empathises with the client group. To determine this, the facilitator is required to identify the difference between self and other, by considering 'that could be me' or 'I am not you' Boler (1997: 256). For example, Cheryl considered working with a mental health group. Through the self-reflection process Cheryl acknowledged that she had experienced mental health issues in the past and recognised 'that could be me'. Linda worked with a senior citizen group suffering with dementia, recognises 'I am not you' as she is not part of this community. Similarly, Moira considered working with a prison group and also identified that 'I am not you' as she has never experienced being in prison.

Stage Two

Further reflection is undertaken by the facilitator to establish if there is a shared common feeling or experience. If the facilitator cannot locate a common feeling or experience to begin the empathy process, then as Preti et al., (2010) proposed, a corresponding emotion, that is an appropriate one, can be utilised. Therefore, Cheryl working with a mental health group shares a common experience, whereas Linda working with the senior citizen group and Moira working in the prison do not share a common experience and would endeavour to consider a corresponding emotion such as fear.

Stage Three

In the sympathy model the facilitator and client stand side by side, 'fellow-feeling' (Davis, 1990) due to the shared common experience that might be current or from the past. Cheryl working with a mental health group would be able to 'stand side by side' with the client because of the shared experience. However, Linda and Moira would have to imagine what the situation is like from the client's perspective in the senior citizen and prison communities.

At this point it is recommended that Cheryl, who does share a similar experience, utilises this as a basis to develop an empathetic stance by recognising that whilst 'that could be me', 'I am not you' (Boler, 1997: 256) and that this is your experience and not mine. This is to help

enhance the client-facilitator relationship because Cheryl could find that she disengages from the client, or may even try to take on the burdens of the client (Gerdes and Segal, 2011) if the sympathetic stance is continued. Gina articulated this point well in the data, where she acknowledged that she 'could completely sympathise with the student…' I felt it was not appropriate to bring my own story into the context at this point, as I wanted the student to feel heard. At this point I continued to lead the discussion with an empathetic approach.'

Stage Four and Stage Six are common to both processes only occur at different stages as outlined in Figure 4-2 and Figure 4-4.

In both instances Cheryl, who is working with a mental health group, Linda working with a senior citizen group and Moira, working in a prison environment, need to put in place appropriate distancing techniques. This is to ensure that a protective distance (Eriksson, 2011) is maintained between facilitator and client. Clear self-other boundaries ought to be established to avoid what Gerdes and Segal (2011) term 'self-other blending' to avoid experiencing the others experience as their own, or project their own motivations onto others and misconstrue the others experience. For example, in the data, Cheryl identified that whilst she shared an experience with the issue of mental health, to help distance herself from the issue, she worked with male clients. However, in each instance, the type of distancing technique may differ to ensure that 'pity' (Davis, 1990) is not displayed by Cheryl, who has had the same experience of the mental health group, or to avoid 'over-identification' (Davis, 1990; Gerdes, 2011) by Linda and Moira in their respective groups. There could also be other damaging consequences for the facilitator and clients such as over-familiarisation or dislike of the client (Coulehan et al., (2001). Respondents such as Helen, also highlighted the 'potential for harm' when working with different Applied Theatre groups, and the need for 'distancing yourself' (Julia) or 'distancing from' (Cheryl).

Stage Five is a common element and corresponds with Stage Seven in Figure 4-4. Once the Applied Theatre project has been completed the facilitator returns to the position of the self through the use of self-reflection and appropriate drama techniques.

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