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CLIENT VERBAL RESPONSES TO COUNSELOR EMPATHY

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DEDICATION

This dissertation is dedicated to my wife, JoAnn, whose support, encouragement, and understanding have been essential throughout my graduate studies.

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ABSTRACT

The effects of counselor empathy on client expression of experiencing, verbal productivity, and length of utterance were investigated using four interview analogues. Two counselor confederates, one male and one female, each had one 45-minute initial interview with each of two clients, one male and one female. Counselors switched from a behavioral condition to an empathic responding condition at 10-minute intervals in an ABAB or BABA design. Transcripts of the interviews were processed by the Computer Assisted Language Analysis System (CALAS) to obtain the dependent measures. It was expected that high rates of counselor empathic responding would result in increases in each of three dependent measures: (a) client expression of experiencing, (b) verbal productivity, and (c) length of utterance. Results indicated no significant differences in the dependent variables between treatment conditions. The results are discussed in light of client-centered theory and research; limitations of the study are noted; and recommendations for future research are made.

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CHAPTER I

INTRODUCTION

Purpose

This study explored the effects of counselors' empathic responding on clients' expression of experiencing (CEE), verbal productivity, and length of utterance. The proponents of the client-centered approach stress the importance of counselor empathy and client self-exploration to the therapeutic process. They believe that accurate communication of empathy by the counselor facilitates client self-exploration which, in turn, is necessary for positive outcome (Rogers, 1967; Truax & Carkhuff, 1967b). Self-exploration, self-disclosure, and self-experiencing are terms which have been used in the theoretical and research literature to refer to client in-therapy process. This process has been described as the verbalization and clarification of covert perceptions, states, and processes. Self-disclosure has been defined and investigated as amount of information disclosed, depth or intimacy of information disclosed, and duration or time spent describing each item of information (Cozby, 1973). In this study CEE is most similar to depth or intimacy of information disclosed; verbal productivity corresponds to amount of

information disclosed; and length of utterance corresponds to duration describing each item of information.

This study was intended to test empirically the theoretical link between counselor empathy and client self-exploration. Previous research has uncovered other variables which affect client self-exploration (Hackney, 1974; Hill & Gormally, 1977; Hoffnung, 1969; Matarazzo, Weitman, Saslow, & Wiens, 1963; Powell, 1968; Vondracek, 1969). This study builds upon this research by instituting controls and procedural checks upon these variables and by operationalizing the dependent variables through a Computer Assisted Language Analysis System (CALAS) (Rush, Pepinsky, Landry, Meara, Strong, Valley, & Young, 1974).

Literature Review

Empathy. "Accurate empathy involves both the sensitivity to current feelings and the verbal facility to communicate this understanding in a language attuned to the client's current feeling" (Truax, 1967, p. 555). The communication of accurate empathy allows clients to identify more clearly their confusion, fear, rage, anger, or other feelings.

The greater the degree of accurately empathic understanding exhibited by the therapist toward the client, the greater will be the evidences of the client's engagement in the process of therapy and his (sic) consequent personality change. (Rogers & Truax, 1967, p. 107)

Reflection of feelings is one way in which empathy is communicated (Truax & Carkhuff, 1967a). The counselor reflects what the client seems to be experiencing in order to capture the underlying and often unclear feelings of the client. When the counselor is on target, the reflection fits perfectly with the client's mood and content.

Truax and Mitchell (1971) cited 13 studies which related helper empathy to helpee outcome. A more recent review added 22 more studies (Orlinsky & Howard, 1978). Of these 35 studies, two thirds show a significant, positive relationship between externally rated therapist empathy and positive therapeutic outcome (Orlinsky & Howard, 1978).

Self-disclosure, self-exploration, and experiencing. Client expression of experiencing (CEE) overlaps in meaning with several previously defined and researched constructs. Self-exploration is defined as the attempt to understand and define one's own beliefs, motives, and actions (Truax & Carkhuff, 1967b). Self-disclosure is defined as the act of making oneself manifest (Jourard,

1971). CEE is most similar to a construct labelled "experiencing" by Gendlin and Tomlinson (1967). They define experiencing as the degree to which the clients manifest inward reference in their verbalizations. When clients are referring inwardly, they are (a) referring to their own feelings and reactions and (b) searching for the meaning of the personal events, feelings, and ideas they are reporting. When reference is made to the literature of all three constructs in the present manuscript, the more general term self-disclosure is used.

In a recent review of the literature on self-disclosure and related constructs, Doster and Nesbitt (1979) found 27 studies supporting a direct relationship between self-disclosure and positive outcome of therapy. Eight studies failed to confirm this relationship (Auld & Wilkinson, 1973; Craig, 1973; Kiesler, 1971; Prager, 1971; Staples, Sloane, Whipple, Cristol, & Yorkston, 1976; Tomlinson, 1967; Truax, Wargo, & Volksdorf, 1970; Van der Veen, 1967). Studies reporting positive relationships have focused on the content of client disclosure (Blau, 1950; Blau, 1953; Braaten, 1961; Kirtner & Cartwright, 1958; Rosenman, 1955; Seeman, 1949; Steele, 1948; Truax & Wittmer, 1971; Wolfson, 1949), the depth of client disclosure (Cartwright, Robertson, Fiske, & Kirtner, 1961; Gendlin, 1968; Kiesler, 1971; Kiesler, Mathieu, & Klein, 1967; Klein,

Mathieu, & Kiesler, 1969; Mitchell et al., 1973; Schauble & Pierce, 1974; Stoler, 1963; Tomlinson & Hart, 1962; Tomlinson & Stoler, 1967; Truax & Carkhuff, 1965a; Truax & Wargo, 1969; Van der Veen, 1967; Walker, Rablen, & Rogers, 1960), and increasing disclosure over time (Gendlin et al., 1968; Kiesler, Mathieu, & Klein, 1967; Tomlinson, 1967; Tomlinson & Hart, 1962). The greatest support for a relationship between client self-disclosure and positive psychotherapy outcome appears to occur when three criteria are met: (a) treatment involves client-centered therapy (Rogers, 1951; Rogers, 1959; Rogers & Dymond, 1954); (b) measures of self-disclosure are designed for client-centered therapy; and (c) ratings are made by adherents of that therapeutic approach (Doster & Nesbitt, 1979). There is a danger in such studies that the theoretical orientation may have been so pervasive in the design as to unwittingly bias the results.

The relationship between empathy and self-disclosure. Client self-disclosure and counselor empathy appear to be logically related by a common focus on the client's inner experiences. The client-centered theorists

suggest that counselor empathy facilitates client self-exploration (Rogers & Truax, 1967; Truax & Carkhuff, 1967b).

Much research literature supports the theorized relationship between counselor empathy and client self-disclosure (Banks, 1972; Hountras & Anderson, 1969; Kurtz & Grummon, 1972; Long & Schultz, 1973; Rogers, 1967). Vondracek (1969) found that the counselors' reflection of feelings facilitated clients' self-disclosure. Waskow (1962) failed to find a relationship between counselors' reflections and clients' use of feeling words. Merbaum (1963) found that clients' affective self-references were facilitated more by reflection of feelings than by either minimal verbal stimuli or a generalized reinforcing condition.

Hoffnung (1969) investigated the effects of counselors' paraphrase on clients' self-referred affect words. The treatment was described as a paraphrase of the clients' self-referred affect words. The results indicated that the paraphrase treatment was effective in conditioning affective self-references. In a similar study Merbaum & Southwell (1965) found the paraphrase treatment to be effective in conditioning affective self-references. In addition, it was more effective than echoing the clients' self-referred affect words.

There is evidence that other counselor responses can effect increases in client self-disclosure. Vondracek (1969) and Powell (1968) both found that counselors' probes and self-disclosures were more effective in facilitating clients' self-disclosure than was reflection of feelings. Hill and Gormally (1977) found that probes facilitated more client affective self-referents than did reflection of feelings. Reflections were more effective than restatements in this regard. Probes were described as open questions which restated content and asked for further information or elaboration. No differences were observed between nonverbal and no-nonverbal conditions. A post hoc analysis revealed that all subjects talked more during counseling periods than during baseline periods. Each of the treatments was presented on a variable interval schedule. Barnabei, Cormier, and Nye (1974) found no difference in the effects of reflection, probe, confrontation, and a combination of these responses on clients' affect words.

Several investigators attempted to relate counselor empathy, client process, and outcome in the same studies. Kurtz and Grummon (1972) studied 31 experienced therapists and their clients over the course of therapy which varied from four to 27 one-hour sessions. Counselor empathy was found to correlate significantly with client self-exploration. Counselor empathy positively corre-

lated with one of six indices used to measure successful outcome of therapy. Client self-exploration was not correlated with any of the outcome measures. Rice (1973) grouped 14 therapists according to their relative conformity to a therapeutic style of interest. This style involved an expressive voice quality, use of fresh, connotative language, and differentiation of the clients' inner experience. The language of 48 clients seen by these therapists at a college counseling center was examined for voice quality and an expressive stance toward their experiencing. This expressive stance involved exploring subjective reactions or differentiating inner experiences. The therapist style had a significant effect on client process in the tenth interview. It had no effect on client process in the first or second interviews. Client process in the first and second interviews was significantly correlated with two of three outcome measures. Client process in the tenth interview correlated significantly with all three outcome measures. This study empirically established a theoretical link between counselor empathy, client process, and positive outcome.

Lavelle (1977) compared the self-reference affect statements made by two groups of volunteers who received either a behavioral or an affective counseling style during one dyadic interview. The behavioral style

depended heavily upon probes while avoiding reference to clients' affect. Probes were described as open questions requiring more than a single yes or no answer. The affective style was mainly reflections of feelings and no probes. No significant differences were found between the behavioral and affective styles. The probes could have had an effect on client self-reference affect statements similar to that of reflection of feelings, thus preventing significant differences in Lavelle's (1977) study.

Counselor empathy and client verbal productivity and length of utterance. Matarazzo and Wiens (1977) reviewed studies of speech behavior as an objective correlate of empathy. In one of the studies mentioned by them (Staples & Sloane, 1976) interviewees talked more in interaction with more empathic interviewers. The interviewees also responded to more empathic interviewers using utterances of longer average duration. Patients who spoke more in therapy, and in longer blocks when they did speak, did better in psychotherapy than those who spoke less and in shorter blocks (Sloane, Staples, Cristol, Yorkston, & Whipple, 1975; Staples, Sloane, Whipple, Cristol, & Yorkston, 1976). In the latter study behavior therapy patients who spoke in longer time units showed significantly greater improvement than those who

spoke in shorter units. Natale (1978) found that interviewees responded with longer duration of utterances to telephone interviewers whom they rated most empathic. These particular studies indicate that patients who improve in psychotherapy are talkative and speak in longer and more complete thought units. These studies also demonstrate that patients respond to empathy with increased verbal productivity and longer utterances.

Rationale

Proponents of the client-centered approach to counseling (Rogers, 1967; Truax & Carkhuff, 1967b) hold that counselor empathy facilitates client self-exploration. On the basis of this theory and subsequent research (Banks, 1972; Hill & Gormally, 1977; Hoffnung, 1969; Hountras & Anderson, 1969; Kurtz & Grummon, 1972; Long & Schultz, 1973; Merbaum, 1963; Merbaum & Southwell, 1965; Rice, 1973; Rogers, 1967; Vondracek, 1969) one would expect that clients' expression of experiencing would increase in phases of an interview that contain high rates of counselor empathic responding. Other research (Hill & Gormally, 1977; Staples & Sloane, 1976) leads one to expect that client verbal productivity would increase in phases that contain high rates of counselor empathic responding. Results reported by Natale (1978) contribute to an expectation of increased

length of utterance in phases that contain high rates of counselor empathic responding.

After a review of other research it was apparent that controls on extraneous variables and procedural checks are needed to help isolate the effects of the empathic responding from other techniques that lead to CEE. Techniques needing control include counselors' probes (Hill & Gormally, 1977; Powell, 1968; Vondracek, 1969), self-disclosures (Powell, 1968; Vondracek, 1969), non-verbal behaviors (Hackney, 1974), minimal encouragers (Hoffnung, 1969), and duration of utterance (Matarazzo, Weitman, Saslow, & Wiens, 1963).

Prior work (Bieber, 1978; Bieber, Patton, & Fuhrman, 1977; Meara, Pepinsky, Shannon, & Murray, 1981; Meara, Shannon, & Pepinsky, 1979; Wycoff, Davis, Hector, & Meara, 1982) indicates that language analysis may be helpful in investigating various phenomena of counseling. The dependent variables, CEE, verbal productivity, and length of utterance are operationalized in terms of an adaptation and adoption of the Matrix Model of Case Grammar (Cook, 1979). Cook based his model on the work of Anderson (1971), Chafe (1970), and Fillmore (1968). "Case Grammar is a description of predicates and the arguments required by the meaning of these predicates in the semantic description of sentences" (Cook, 1979, p. vi). It is intended to exhibit the meaning underlying

the surface structure of language. Case Grammar provided the basis for development of the Computer Assisted Language Analysis System (CALAS) (Rush et al., 1974). CALAS, which parses language into specific semantic and stylistic attributes, was used in this study to generate the dependent measures. Refer to Appendix A for the rationale of case grammar and CALAS. Refer to Appendix B for a detailed description of CALAS and the case grammar verb types as defined by Meara et al. (1981). The measures derived from CALAS are not dependent on any theoretical orientation of counseling, but rather are derived from structural properties of language agreed upon by linguists and language scholars (Meara et al., 1979). One can, consequently, compare the language of clients and counselors across theoretical orientations, stages, and topics without the bias related to counseling theory noted by Bieber (1978) and Doster and Nesbitt (1979).

In summary this study attempted to test empirically the client-centered prediction and previously found effects of counselor empathy on CEE, verbal productivity, and length of utterance. Controls were included on counselors' probes, self-disclosures, minimal encouragers, non-verbal behaviors, and length of utterances.

Procedural checks were made on these variables as well as counselor empathic responding. The dependent variables were measured by means of the CALAS.

Based on client-centered theory and the research reviewed related to empathy and self-disclosure the following hypotheses are posited.

(1) Clients will use a higher proportion of self-referenced state-experiential, process-experiential, and state-basic verbs in the empathic responding phases of the interviews than in the behavioral responding phases.

(2) Clients will use more clauses per minute during the empathic responding phases than during the behavioral responding phases.

(3) Clients will use more clauses per utterance during the empathic responding phases than during the behavioral responding phases.

CHAPTER II

METHOD

Participants and Confederates

Four participants were selected from the six who volunteered to be clients in what was described as a counseling research interview. Two were male and two were female students averaging 26.5 years of age. One male and one female were married. One female was black, and the other participants were white. Each participant was randomly assigned to one of two confederate counselors with the limitation that each counselor interviewed one male and one female client. The participants were recruited by the experimenter from college of education classes at The University of Tennessee. Screening interviews were held with those who volunteered. A senior staff member from the counseling center served as consultant for these interviews. Prospective participants were eliminated for the following reasons: (a) having prior experience as a client, (b) monopolizing the screening interview, (c) appearing extremely non-verbal, (d) demonstrating or reporting pronounced emotional distress, (e) knowing members of the research team, or (f) in one case having a schedule conflict.

Clients were given a form which described their research participation in enough detail to achieve informed consent. See Appendix C. They were informed of taping of their interviews and were informed of confidentiality and its limits. The participants signed a release form so that the tapes could be used for data analysis. They were also informed that although the initial interview was to be used for research, the counselor would be trying to understand and help them. It was made clear that there would be opportunities for personal counseling after the research interview if those who participated so desired. The referral process for further counseling was explained to the clients during the screening interviews. Participants were instructed to treat the interview as if it were their first counseling session and to bring up any concerns they might want to pursue in continued counseling. They were told that in all probability their experience would not be different from a non-research interview, and that ill effects were unlikely.

Two advanced doctoral students in counseling psychology who had experience doing counseling were recruited as confederate counselors. The two counselors, one male and one female, did not have knowledge of the experimental hypotheses, and their identity was known only to those who directly participated in the research.

Research Design

The two counselors each had one interview with each of two participants. In each of these interviews, behavioral and empathic treatments were alternated in either an ABAB or a BABA design. The order of phases was randomly assigned to each counselor-client pair such that each counselor used both order sequences. Table 1 summarizes the assignment of confederate counselors and volunteer clients to experimental conditions.

Table 1
Research Design

	Experimental Phases			
Counselor 1 - Client 1	B	A	B	A
Counselor 1 - Client 2	A	B	A	B
Counselor 2 - Client 3	A	B	A	B
Counselor 2 - Client 4	B	A	B	A

Note. A = Behavioral counseling without counselor empathic responding
B = Empathic counseling with consistent counselor empathic responding

Procedures

Each interview was held in a counselor's private office and was audio-taped in its entirety by the experimenter from an adjacent room. The counselor opened the interview with five minutes of general discussion which was followed by the four, ten-minute experimental phases. During the interview the experimenter timed the phases and alerted the counselor to change phases. He also made note of the speech following changes in phases in order to subdivide the audio-tapes into the appropriate phases. The procedures for timing the behavioral and empathic phases and communicating with the counselors as to when to change phases are found in Appendix D. Before closing the interview the counselor offered to refer the client to another counselor at the counseling center. Immediately after the interviews the experimenter met with clients to assess their awareness of the treatment, to explain the experimental procedure in detail, and to answer any questions. Clients indicated that they were unaware of the nature of the treatments.

Treatments. During the counselor empathic responding (CER) condition counselors focused on their clients' feelings making empathic responses at the interchangeable level or above (Carkhuff, 1969). This is a level of empathic responding in which overtly expressed feelings

of clients are recognized and verbalized. Counselors use feeling words at this level which have the same meaning and intensity as the feeling expressed by their clients (Carkhuff, 1969).

During the behavioral condition counselors were instructed to refrain from using empathic responses. Instead, counselors helped clients translate the description of the problem into behavioral terms and behavioral interactions (Hosford & De Visser, 1974). Reinforcers for present and preferred behaviors were identified. Goals and strategies for attaining those goals were also discussed.

In order to provide a smooth counseling style which was not artificial, the counselors were allowed to use other types of verbal responses in any phase when appropriate. These included: (a) information-giving, (b) minimal encouragers, (c) approval-reassurance, (d) direct guidance, (e) closed question, (f) open question, (g) restatement, (h) nonverbal referent, (i) interpretation, (j) confrontation, and (k) silence. See Appendix D, page 64 for definitions of these responses. Minimal encouragers were allowed in all phases except after clients verbalized feeling words. Counselors refrained from using self-disclosure during any phase of the experiment. They were instructed to attempt to be consistent in their use of probes and nonverbal behavior

across phases. They also attempted to be consistent in the amount they talked across utterances and phases. See Appendix D, page 61 for a more detailed description of the treatment conditions. Procedural checks of minimal encouragers, self-disclosure, probes, nonverbal behaviors, and length of utterances are discussed below.

Confederate counselor training. Counselors met with the investigator for training as described in the instructions to counselors. See Appendix D, page 60. Briefly, the training consisted of written instructions, discussion, practice interviews, pilot study interviews and procedural checks. Training time totalled 10 hours.

Training of empathy raters. Two doctoral students in The Department of Educational and Counseling Psychology at The University of Tennessee served as raters for counselor empathic responding (CER). Written instructions were given, and the raters practiced and discussed audio-tapes of counseling. Raters were instructed to listen to a tape and rate each counselor utterance as either ON or OFF according to the written criteria given them. See independent variable measurement below and Appendix E for more detailed descriptions of the rating scale. Training continued until an inter-rater reliability of .94 was achieved for a 10-minute segment. Raters then rated two pilot interviews, and an inter-

rater reliability of .99 was achieved. Training totalled seven hours. Procedural checks on counselor empathic responding are discussed below.

Independent Variable Measurement: Empathy Rating Scale

To check on the empathic responding level in behavioral and empathic phases, the rating procedure used by Hector, Davis, Denton, Hayes, Patton-Crowder, and Hinkle (1981) was used. This procedure has been used to measure counselor empathic responses to negative affect but was used in this study to rate responses to positive affect as well. The procedure classifies counselor statements as either "ON," accurate empathic response, or "OFF," non-empathic response. See Appendix F for the rationale of empathy measurement. One counselor statement is considered to be any verbalization, however long, that comes between two client statements (Hector et al., 1981). A statement is considered "OFF" if the client's feelings: (a) were not recognized; (b) were recognized in a disapproving manner; (c) or were denied (Hayes, 1979). To adjust for the differing frequencies of total counselor statements, an ON ratio was used. It is derived by dividing the total number of ON statements by the total number of statements produced by the counselor (Hector et al., 1981). This ratio provides a measure of the consistency with which the counselor responded to the

feelings of the client. In the present study the ON ratio was calculated for each phase of the experiment.

Hector et al. (1981) correlated their measure of empathic responding with a recognized measure of this construct created by Gazda, Asbury, Balzer, Childers, Desselle, and Walters (1973). A correlation of .87 between measures was obtained indicating high concurrent validity. Inter-rater reliability ranged from .84 to .99 in the Hector et al. (1981) study and from .97 to .98 in a study by Hayes, Crowder, Davis, Denton, Hector, Hinkle, and Kidder (1980).

Measurement of Dependent Variables

Client expression of experiencing. Client expression of experiencing (CEE) is defined as references by clients to their inner experiencing, covert feelings, cognitions, or perceptions. These experiences may be conceptualized as states, properties, or processes of clients. CEE was operationalized as clients' self-referenced state-experiential (SE), state-basic (SB), and process-experiential (PE) verb usage as measured by CALAS (Pepinsky, Baker, Matalon, May, & Staubus, 1977; Rush et al., 1974). CALAS is a set of computer programs which take, as data input, the natural language text of the counselor and client. The final output includes a classification of each verb in each clause into one of

nine types of verb. These verb types are derived from case grammar as set forth in Cook's (1979) Case Grammar Matrix Model and modified by others (Pepinsky et al., 1977; Meara et al., 1981). A brief description of the verb categories used in this study and believed to be relevant to humanistic-phenomenological counseling and psychotherapy follows. See Appendix A for the rationale of CALAS and Appendix B for a more complete description of CALAS and case grammar verb categories.

The state-basic verb defines a particular non-causal relation between persons or things or a state or property of such objects; for example, "I am happy." The experiential verb type is a general class of verbs that includes three subtypes, two of which have been used in the present study. Those two are the state-experiential and process-experiential verbs. The experiential verb deals with the inner life of people, and each requires a subject that is an experiencer. Experiential verbs define relations in which an experiencer undergoes a psychological event of sensation, emotion, or cognition. The state-experiential verbs specify that an experiencer is in a certain state or condition of sensation, emotion, or cognition; for example, "I feel sad"; "I know the answer"; "I want freedom." The second type of experiential verb is the process-experiential verb which defines

the experiencing of a sensory/perceptual activity; for example, "I heard a strange noise"; "I sense the pain."

The proportion of CEE was calculated by dividing the sum of client self-referenced state-basic, state-experiential, and process-experiential verbs by the total number of client verbs. The proportions were calculated for each treatment condition across all interviews.

$$\text{CEE} = \frac{\text{Number of Client Self-referenced SE+PE+SB Verbs}}{\text{Total Number of Client-expressed Verbs}}$$

Thus a proportion of CEE for all empathic phases was compared with a proportion for all behavioral phases.

Verbal productivity. Verbal productivity was operationalized as clauses per minute. A clause is defined as a string of words with one and only one verb (Cook, 1969). Because the clause contains a verb which identifies an inherent semantic relationship (Chafe, 1970), it is considered the basic unit of analysis. The ratio was calculated for each treatment condition across all interviews.

Length of utterance. Length of utterance was operationalized as clauses per utterance. A client utterance is the speech between two counselor verbalizations. The

ratio was calculated for each treatment condition across all interviews.

Procedural Checks

Reliability of empathy ratings was .97. Table 1 in Appendix G provides the percentage of empathic responses in each phase of each interview. The percentage provided is obtained by averaging the two raters' percentages in each phase. A Z test for proportions (Bruning & Kintz, 1968) indicated that there was a significant difference between adjacent phases in each interview with one exception. The difference between phases two and three of interview one was not significant. Results of these tests are provided in Table 1 of Appendix G.

Research has shown that counselors' use of self-disclosure, probes, and minimal encouragers after client affect words has significantly affected client self-disclosure. In the present study attempts were made to control these variables. Procedural checks of these controls were made by a doctoral student in counselor education. Training included reading written descriptions of the responses (Hill, 1978) and practicing in the differentiation of them using a pilot study transcript. Procedural checks for the entire set of interviews revealed the following: One minimal encourager was made by a counselor after client expression of an affect word;

and no self-disclosures were made by counselors. Table 2 in Appendix G shows the number of probes used by counselors in each phase of each interview. Chi square tests supported the conclusion that counselors successfully controlled their use of probes across phases in each interview. Results of these tests are provided in Table 2 of Appendix G.

Research has shown counselors' length of utterances to be positively related to clients' length of utterances. Although verbal talk time was the unit of analysis in previous research (Matarazzo et al., 1963), number of clauses was used as the unit of analysis in the present study. Counselors were instructed to be consistent in their length of utterances across phases of an interview. This was done to control the possibly confounding effect of this variable on client length of utterances. A procedural check was made on counselor clauses per utterance using ANOVA to compare phases within each interview. When tests of homogeneous variance were significant, Kruskal Wallis Analysis of Variance was used. No significant differences were found between phases in any interview. Refer to Tables 3 and 4 in Appendix G for descriptive statistics and Table 5 in Appendix G for significance test results.

Research has demonstrated that counselors' nonverbal behaviors affect observers' or clients' judgements of

counselor empathy (Haase & Tepper, 1972; Smith-Hanen, 1977; Tepper & Haase, 1978). Interviewees' self-reference feeling statements have been differentially affected by the manipulation of interviewer nonverbal behaviors (Hackney, 1974). In order to control for the possible confounding effect of counselors' nonverbal behaviors, counselors were asked to use minimal nonverbal behaviors and to use comparable non-verbal behaviors across interview phases. A procedural check on the consistency of nonverbal behaviors was performed on pilot study videotapes. Two doctoral students in counseling psychology were trained in the use of a nonverbal behavior rating scale. Reliability of ratings ranged from .70 to .98, and behaviors did not differ significantly in occurrence across phases within each interview. See Table 6 in Appendix G for results and Appendix H for the scale.

In studies of variables across time it is likely that observations will not be independent. This lack of independence is labelled serial dependency by statisticians. If a time series variable is serially dependent, an assumption of traditional statistics is violated. Thus these statistics are inappropriate. In this study two separate tests of serial dependency were performed on each variable. The Ljung-Box Q statistic (Liu, 1981) was calculated for lag 10 of the following

variables: CEE, client length of utterance, client verbal productivity, and counselor length of utterance. Out of 16 time series only two resulted in significant statistics at $\alpha = .05$. The Durbin Watson Test (Neter & Wasserman, 1974) was computed for each variable in each phase of each interview. Out of 64 tests four were significant at the .05 level. Due to the small number of significant test results and the large number of tests performed it was assumed that the variables were not serially dependent, and traditional statistics could be legitimately used.

CHAPTER III

RESULTS

An overall chi square for proportions (Fleiss, 1981) was used to compare the proportion of client expression of experiencing in empathic phases with the proportion in behavioral phases. These two proportions both equaled .254, $\chi^2(1) = 0$, $p > .05$. Hypothesis 1 was not supported.

A one-tailed t test was used to compare the mean number of client clauses per minute in empathic phases with the mean number in behavioral phases. Results revealed no significant differences, $t(158) = .33$, $p > .05$. The empathic and behavioral means were both 18 clauses per minute. Hypothesis 2 was not supported.

A one-tailed t test was used to compare the mean number of client clauses per utterance in empathic phases ($M = 9$) with the mean number in behavioral phases ($M = 10$). Results revealed no significant differences, $t(320) = .37$, $p > .05$. Hypothesis 3 was not supported.

CHAPTER IV

DISCUSSION

Limitations

There are several factors which may have contributed to the lack of significant results. In the pioneering research studying the effect of counselor empathy on client self-disclosure and self-exploration, all therapeutic conditions were confounded (Holder, Carkhuff, & Berenson, 1967; Piaget, Berenson, & Carkhuff, 1967; Truax, Altmann, & Wittmer, 1973; Truax & Carkhuff, 1965b). The facilitative conditions of empathy, positive regard, genuineness, concreteness, and self-disclosure were manipulated concurrently. In the present study only empathy was manipulated in order to determine its effects alone. The other facilitative conditions, with the exception of counselor self-disclosure, were not controlled. Procedural checks were not made on these variables, so their effects on dependent variables are unknown. It could be presumed that these effects were random across treatment conditions. If these facilitative conditions were moderately high, they may have encouraged client self-disclosure and reduced the effects of empathic responding.

As Corrigan, Dell, Lewis, and Schmidt (1980) have postulated, "It may be that the influence initially

generated by counselors results from the legitimacy of the role itself" p. 432. Counselors in the present study began the first phase of every interview with an open question asking clients to explore a problem. This in conjunction with their legitimate status may have been sufficient influence to generate moderate levels of the dependent variables in both conditions. A comparison of dependent measures in phase one with these measures in phases two through four showed a continuation of the same levels across phases. The overall proportion of CEE verbs, 25%, in the present study appears to be comparable to the proportions found by Bieber (1978) in the initial interviews of three long-term counseling cases. This would seem to support the contention that clients in the present study were verbalizing their inner experiencing to a moderate degree.

It is possible the limited contact between counselor and client may have also contributed to the lack of significant results. An initial counseling interview may be too soon to observe an increase in client expression of experiencing as a result of counselor empathy. This interpretation receives support from a study by Rice (1973). A therapist style which stressed the evocation and differentiation of the client's inner experience had a significant, positive effect on client exploration of

inner experiences in the tenth interview. No effect was observed, however, in the first or second interviews. She concluded, "Early in therapy, the client may be more influential in determining process while the impact of the therapist increases as the relationship progresses" (Rice, 1973, p. 310).

Two other studies using case grammar to operationalize the variables bear on this issue. First, in a study of three interviews between one client and Carl Rogers, Fritz Perls, and Albert Ellis (Meara et al., 1981), the client was very consistent in the types of verbs she used both within and across interviews. This was true in spite of the fact that the three therapists differed significantly in their verb usage.

In the second study Bieber et al. (1977) investigated the verb type usage of a counselor and client from the first, eleventh, and twenty-fifth interviews. Although only four broad categories of verbs were studied, the results shed light on language use in counseling. Over the course of the 25 sessions both counselor and client increased the frequency of verbs and case roles that named and related the client to an inner state or psychological condition. In the first interview, however, the client remained remarkably consistent in verb type usage. This occurred despite an increase by the counselor in his use of the stative verb type during

the course of the first interview. Meara et al. (1981) commented that the client seemed to be uninfluenced by her counselors' verb usage during an initial interview yet to be semantically "moving in concert" with the counselor by the 11th interview. In like manner clients in the present study may have been relatively impervious to the changes in the counselors' focus during empathic and behavioral conditions. During an initial interview trust and rapport may not have developed sufficiently for clients to follow their counselors in the risky business of expression of inner experiencing.

Meara et al. (1979) found evidence that clients change their number of sentences across periods of a first interview to coincide with similar changes by their counselors. In the present study counselor verbal productivity and duration of utterance were controlled across conditions so such concerted activity could not be explored.

Counselor influence may have been thwarted in the present study due to the analogue nature of the interview and the fact that clients did not expect any further interviews with their counselors. For these reasons clients may not have been willing to take risks or to show vulnerability. Self-disclosure, self-exploration, and CEE involve taking risks and Since self-disclosure,

self-exploration, and CEE involve taking risks and being vulnerable, these behaviors may have been restricted.

A behavioral treatment was chosen as a comparative treatment because it does not focus on the client's phenomenological world but rather on overt behaviors. The study was not intended to compare good counseling or empathic counseling with no counseling or bad counseling. Although highly empathic counseling may elicit client expression of inner experiencing, a behavioral approach may be equally effective in this regard. Doster and Nesbitt (1979) reviewed studies supporting the efficacy of behavioral interventions such as direct instructions, modeling, and reinforcement in the facilitation of client self-disclosure. Consistent with these results is a study by Lavelle (1977). He found no significant differences in client self-reference affect statements between groups of teachers receiving either a behavioral or an affective counseling style.

The choice and operationalization of comparative treatment variables points to a problem in designing counseling research. A researcher may want to isolate the effects of one intervention. The baseline or comparative treatment must then be designed to be at least minimally facilitative or else the researcher will only be comparing a counseling intervention with no counseling or bad counseling. However, by designing a

comparative treatment which is intended to be effective the researcher decreases the chances of achieving significant results.

A statistical limitation may have contributed to nonsignificant results. There is a restriction of range on the proportion of CEE verbs which clients used in their interviews. The largest proportion of CEE verbs was .385 and occurred in the first empathic responding phase of interview four. The smallest proportion was .173 and occurred in both empathic responding phases of interview two and the first empathic responding phase of interview one. This restriction of range has been observed in previous studies (Bieber, 1978; Bieber et al., 1977; Patton, Fuhrman, & Bieber, 1977; Meara et al., 1981) and makes significant differences between phases difficult to achieve. Verbal productivity and length of utterance, however, were not prone to this limited range problem.

In studies of variables across time it has been recommended that time series statistical analysis be used to correct for biases caused by serial dependency in the data (Cook & Campbell, 1979; Kazdin, 1976). To use this type of analysis appropriately, at least 50 observations in the baseline phase are needed in order to identify a model and to determine statistical significance of its parameters (Glass, Willson, & Gottman, 1975). This was

not possible in the present study due to the small sample sizes. Checks for serial dependency were performed, but these tests were not sensitive to autocorrelation which may exist in the data. Although tests for serial dependency were nonsignificant, the requirement of these tests for large sample sizes was not met. The results of this study need confirmation with larger samples in which tests of serial dependency would be more dependable and time series statistical analysis would be possible.

Implications

The results of this study are inconsistent with the client-centered theorists' belief that counselor empathy facilitates client expression of experiencing in an initial interview. The failure to achieve the predicted effects of counselor empathy on client verbal productivity and length of utterances is inconsistent with the findings cited by Matarazzo and Wiens (1977) and reported by Natale (1978). The conclusions of this study are limited by the unique ways in which variables were defined and operationalized.

The present study was successful in controlling counselors' probes, minimal encouragers, self-disclosures, and length of utterances. All of these variables have been found in previous studies to affect client self-exploration or self-disclosure. In all

studies with positive results for counselor reflection of feelings at least one of the above variables was left uncontrolled. This variable could have caused at least part of the effectiveness of the treatment in those studies. It is possible that the increased control in the present study may have eliminated the effects of variables which covaried with reflection of feelings in previous studies. This would have resulted in a reduction of the previously observed relationships.

Counselors were instructed to respond with high rates of empathic responses in empathic phases regardless of their clients' verbal responses. This was done in order to maximize the difference in empathic responding between empathic and behavioral conditions. Thus even if clients responded superficially and avoided feelings, counselors were instructed to respond to underlying feelings or recently expressed feelings. This is consistent with Rogers' (Meador & Rogers, 1979; Rogers, 1951) view that communication of empathy should not be contingent upon the client's in-therapy verbalizations. He believes that empathy is primarily the communication of a consistent attitude of understanding regardless of client behavior. However, all five of the unsuccessful studies cited in the literature (Barnabei et al., 1974; Hill & Gormally, 1977; Lavelle, 1977; Vondracek, 1969; Waskow, 1962) had counselors reflect both verbally

expressed feelings of their clients and feelings which their clients were not verbalizing. In contrast three of the four successful experimental studies (Hoffnung, 1969; Merbaum, 1963; Merbaum & Southwell, 1965; Rice, 1973) cited in the literature required reflection of feelings to be contingent upon clients' verbal expression of affective self-references. Truax (1962) demonstrated that in a long-term therapy case Rogers responded more empathetically to some client verbal behaviors than to others. This resulted in the reinforcement of and concomitant increase in a number of specific client verbal behaviors. The present results and the literature cited above seem to favor a reinforcement interpretation of the effects of reflection of feelings as opposed to an attitudinal or Rogerian interpretation. Significant increases in self-exploration of feelings have been found more often in the above-cited studies when counselor reflection immediately follows client verbalization of feelings.

An additional exploratory analysis revealed some interesting patterns in the data. Client utterances for each entire interview were separated into two groups depending upon whether the preceding counselor utterance was ON or OFF. Mean length of utterance was calculated for each group, and t tests were performed. In three of the four interviews clients used significantly longer

utterances after counselor nonempathic utterances than after empathic utterances. See Table 1 in Appendix I. Although these findings are admittedly tentative, they contradict studies by Natale (1978) and Staples and Sloane (1976) and the predictions made in hypothesis 3 of this study. It would appear that some clients were more verbal in response to less empathic counseling. This analysis does not reflect upon the content or depth of self-exploration of clients.

Recommendations for Future Research

In order to overcome the problem associated with the limited data for time series analysis, multiple interviews would seem to be indicated. If enough interviews were available, an ABAB design could be used in which each condition would consist of several interviews. This would provide enough data points in each phase for time series analysis. This would also allow one to explore the possibility that later counseling sessions would exhibit the hypothesized relationships between counselor empathic responding and the dependent measures.

It is recommended that future research compare reflection of feelings contingent upon client verbalized affect with reflection of feelings non-contingent upon verbalized affect. Such a comparison in the same study might provide information about the comparative

effectiveness of behavioral and client-centered theories in explaining the effects of reflection. The results of such a study could also lead to a more precise operational definition of counselor empathic responding by specifying when and how empathic responses are most effective in eliciting self-disclosure. This could improve counselor training of empathic responding.

The inclusion of personality measures in future research might indicate relationships between defensiveness or other personality variables and counselor empathic or behavioral style. It may be that different clients require differential focus on their inner experiences at different times during the therapeutic process. An initial focus on inner experiencing may be inappropriate for those individuals who are characteristically guarded, suspicious, or constricted in affective expression.

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APPENDICES

APPENDIX A

RATIONALE FOR CALAS

Kiesler (1973), in a review of process research in psychotherapy, recommended that psychotherapy researchers conceptualize their efforts in communication terminology, since the communication model is the most general available that is still isomorphic with the events of psychotherapy.

By adopting the communication model, psychotherapy process researchers can thereby use the concepts and methodology of the science of linguistics and psycholinguistics to achieve greater precision and replicability of their efforts. (Kiesler, 1973, p. 20)

A research group (Rush et al., 1974) at Ohio State University was already in the process of developing a Computer Assisted Language Analysis System (CALAS) which uses case grammar (Cook, 1979) to classify the natural language of counselor and client. Thus the CALAS fulfills Kiesler's recommendations. It is based on linguistic theory and thus is not tied to any one theory of counseling or psychotherapy. Studies using CALAS are not subject to the potential bias suggested by Doster and Nesbitt (1979) and Bieber (1978). CALAS is highly reliable, and its construct validity is based on Cook's (1979) Case Grammar Matrix Model. See Appendix B for a description of this model.

Extensive application of this model to many languages suggests it is a viable model for the description of language (Cook, 1979). Several of Cook's classifications of verbs define inner states or experiences of people. For this reason they were chosen to operationalize the dependent variable, client expression of experiencing.

Research using CALAS has demonstrated that the state-basic and state-experiential verbs are related to the construct domains of thoughts and feelings as defined by another content analysis system (Bieber, 1978). Meara et al. (1981) compared the natural language text of Rogers, Perls, and Ellis in the "Gloria Tapes" using CALAS. Rogers stated prior to the interview that he would attempt to understand the inner world of the client. Based on Rogers' intention the authors predicted he would use a high percentage of state-basic and state-experiential verbs, and he would use more of these verbs than the other therapists. The results bore out the authors' predictions. The implication of these results is that Rogers focused on the clients' inner world as he intended to do. He also did this more than the other therapists who had not voiced this intention.

APPENDIX B

CALAS AND CASE GRAMMAR VERB CATEGORIES

The following description of the CALAS programs and the definitions and examples of case grammar verbs are taken verbatim from Meara et al. (1981).

Briefly, the CALAS includes a set of computer programs and an algorithm for translating texts in the English language into structural equivalents. It is conducted through two computer languages, SPITBALL and PL/I. Although originally designed to be run on an IBM System Model 370/168 computer using punch cards, CALAS has been adopted for use with the IBM 370/3031 using a series of interface programs with the DEC System 10 for data file storage and off-line editing with SOS editing language.

There are three distinct sequential operations: (a) Eyeball, translation of the text into grammatical counterparts (e.g., noun, verb, adjective, adverb); (b) Phraser, aggregation of grammatical class assignments into phrases (e.g., noun phrase, verb phrase, prepositional phrase); (c) Clause and Case, grouping the phrases into clauses (e.g., main and subordinate) and assigning labels derived from case grammar to each phrase in the clause (e.g., agentive or experiential). The labels of interest in this study were those assigned to each verb phrase. After each operation, the system provides for human editing to increase the accuracy of the input into the next phase. In this study, hand corrections were a product of the consensus of three individuals who were well versed in case grammar and the CALAS. (p. 112-113)

Cook's (1979) Matrix Model of Case Grammar is based on what are postulated to be essential and inherent semantic relations between verb and noun phrases in the deep structure of the English language. Three types of verb phrases, which Cook considers primary or fundamental, are postulated to exist. The three categories, with our adapted definitions and examples, are as follows:

1. State verbs define a particular, non-causal relation between persons or things, or the state or property of such an object (e.g., I am happy. The wood is dry).

2. Process verbs define a causal relation without specification of an agent in which something is happening to a person or a thing (e.g., I was burned. The wood dried).

3. Action verbs define a causal relation without specification of an agent in which a person or thing does something (optionally, to somebody or something; e.g., Mary hit John. The boy ran).

When any of the three inherent semantic features of state, process, or action is present in simple form, the verb phrase is termed basic.

In addition to these basic types, Cook (1979) proposed three other categories of verbs that only exist interactively with the fundamental or basic types, forming compounds of them. This second set of interactive types includes experiential, benefactive, and locative.

Experiential verbs define relations in which states of feeling, sensing, or knowing are attributed, or acts of consciousness or awareness are imputed, to a person or thing. Benefactive verbs define a relation in which persons or things are identified as beneficiaries of a state, an action, or a process. The latter verbs connote ownership or possession of, or that someone or something has benefited from, somebody or something. (p. 113)

Locative verbs have been excluded from CALAS programs and from the present study.

Our adapted definitions and examples of the interactive verb types are as follows: (a) State-experiential verbs define cognitive or affective states (e.g., I knew the answer. I wanted a drink); (b) State-benefactive verbs define states of ownership (e.g., I have four daffodils. I now own the house); (c) process-experiential verbs define the experiencing of a sensory/perceptual activity (e.g., I heard a cat. I felt the pain); (d) process-benefactive verbs define an activity that is of benefit to someone or something (e.g., I received a new job. The forest is reclaiming the land); (e) action-experiential verbs define an action that

provides an experience to a person or other thing (e.g., I spoke to them. She tells me everything); and (f) action-benefactive verbs define an action that benefits someone or something (e.g., I gave him some money. He willed the farm to his wife). (p. 113-114)

APPENDIX C

INFORMED CONSENT AND RELEASE FORM

Your voluntary participation is requested in this research project. The following information is provided to inform you of the nature of your participation before you consent to such participation. Please read this form and sign it at the bottom if you agree to participate.

1. The procedure consists of one 45 minute interview in which you will be expected to talk with a counselor about a personal concern. During this interview the counselor will be attempting to aid you in defining, understanding and taking steps to resolve a problem which concerns you. While talking with you the counselor will use various counseling techniques at different times during the interview as set forth in the plan of the research. These techniques are not experimental in that they are used regularly by counselors in their counseling, and have been acceptable methods of counseling for years. A full explanation of these techniques will be provided you upon completion of the interview. Tapes will be made of the interview, and raters will rate them for certain characteristics. You will be informed of the names of the counselors, raters, and professor involved in the research in case you know any of them and would prefer not to participate for that reason. The tapes will be held confidential, and only the experimenters will hear them for purposes of the research only. Small excerpts of the transcript of the interview may be published for illustrative purposes in my dissertation or a journal, but your identity will be disguised. Your last name and any information which might identify you will be erased from the tape recording. The tapes will be erased after their purposes in the research have been completed. You will not be identified on written transcripts of the interview except by an identification number.

2. Any discomfort to be expected in the interview would be due only to normal anxiety aroused in discussing personal concerns with a counselor.

3. Benefits may be obtained from talking over concerns with an experienced counselor and resolving some conflict currently being experienced. A better understanding of self and knowledge of resources to solve problems may be of help. Referral for continued counseling may bring long range benefits.

4. If you prefer not to engage in the research interview, you may be referred to a counselor for counseling if you so desire.

5. At any time you wish an explanation of procedures, the researchers will attempt to explain them as best they can without disclosing the nature of the treatment since this would confound the results of the research. Full disclosure will be made after the experimental interview.

6. Your voluntary participation is requested. You are, however, free to withdraw from the research at any time or refuse to engage in the research interview, and no penalty will be incurred. You will still be referred for counseling if you so desire.

7. No physical harm to you is anticipated since you are only asked to sit and talk.

If you agree to participate and release the tape for research purposes, please sign below. Thank you.

For questions,

Name: _____

Call: David Kidder
2426 Seymour Ave.
Knoxville, TN 37917
615-974-2272
615-525-2907

Date: _____

APPENDIX D

INSTRUCTIONS TO COUNSELORS

The study for which you have volunteered is an analogue study of counseling. You are requested to conduct an initial counseling interview, approximately 45 minutes in length, with two different students who have also volunteered for the research. Each of these students, one male and one female, have volunteered with the understanding that they are to talk to you about a personal concern. The interview will be audiotaped, but you will not be responsible for the operation of the tape recorder, and permission to tape the session will already have been obtained from the students. During the interviews you are to alternate between two different counseling styles at 10-minute intervals. The experimenter will be in the next room listening to the interviews and timing them. After a five-minute warm-up period, the experimenter will flash one of two small colored lights which are affixed to the wall behind the client. This will be your cue to begin one of the counseling styles, either behavioral ("A" phase, white light) or empathic ("B" phase, green light). The order of these styles will be decided by the experimenter and given to you prior to each interview. You will use an ABAB order with one client and a BABA order with the other.

You will open the conversation with five minutes of general discussion about the clients' background and present activities. This is intended to develop rapport and help you and the clients to relax. If clients initiate discussion of topics during the warm-up period, follow their lead. If the clients do not initiate discussion, open with, "What is your major?" or "Where is your home town?" or "How did you decide to come to U.T.K.?" After five minutes the experimenter will flash one of the colored lights. At the next logical break in conversation say, "What personal concern would you like to talk about? Tell me about that." You will then begin 10 minutes of the counseling style associated with that color light. Thereafter every ten minutes the experimenter will flash a light to alert you to change counseling styles. After the fourth treatment phase the experimenter will flash both lights, at which time you should close interviews at the earliest logical point. Do not terminate the interviews abruptly, but allow the students to obtain some closure on discussion of their concerns. Before termination of interviews, ask the

students if they would like to continue with counseling, and if they would, refer them to someone else at the counseling center. Immediately after termination of interviews, the experimenter will meet with the students to assess their awareness of the treatment, to explain the experimental procedure in detail, and to answer any questions they might have.

Training Procedures

After you understand the counseling styles described below, you will be asked to practice manipulation of these styles in short, 10-minute interviews with a practice client who volunteers to help. These practice sessions will be videotaped, replayed, and discussed by the two counselors, the experimenter, and the practice client in order to check on the proper use of each type of verbal and nonverbal response. After you and the experimenter are satisfied with your performance, a pilot interview, twenty minutes in length, will be scheduled for further practice and procedural checks. This interview will be held with another student who is unaware of the variables being manipulated, and it will be held according to the same procedures as prescribed for the main study. The one exception is that this pilot interview will be videotaped instead of audiotaped in order to check on consistency of nonverbal behavior. After this interview, the experimenter will analyze the data. If your verbal behavior is found to be within the limits prescribed in the description of the counseling styles below, the main study interview will be scheduled. If not, the experimenter will discuss with you the changes which need to be made, and further practice and/or a second pilot interview will be scheduled prior to the main study.

Counseling Style B: Empathic

During the empathic counseling phases of the interviews you should focus on the clients' feelings by emphasizing at least "interchangeable" reflections of their feelings in your verbal behavior. This is a level of empathic responding in which overtly expressed feelings of a client are recognized and verbalized. You should use feeling words at this level which have the same meaning and intensity as the feeling expressed by the client. Examples of this type response are, "You feel sad because your dog died," "You're elated at the news of your new job appointment." You may also respond

to deeper, underlying feelings which are not overtly expressed by the clients, but be careful not to threaten them by responding in this way too soon. You should respond to feelings as much as possible during this phase, but you may also use other verbal responses (e.g., minimal encourager, approval-reassurance, information-giving, direct guidance, closed question, open question, restatement, nonverbal referent, interpretation, confrontation, or silence; see verbal responses section for definitions and examples). The objectives during the empathic counseling phases will be to build rapport and to understand and clarify the feelings related to the clients' concerns.

Counseling Style A: Behavioral

During the behavioral counseling phases of the interview you should refrain altogether from responding empathetically to the clients' feelings. Instead, focus on the behaviors which are related to the clients' stated problems. You may use any of the following verbal responses: minimal encourager, approval-reassurance, information-giving, direct guidance, closed questions, open questions, restatement, nonverbal referent, interpretation, confrontation, or silence; see verbal responses section for definitions and examples. Using this behavioral approach to counseling, first focus on and reinforce the clients' discussions of problems in terms of the behavior of the clients and their related others. An example of this type of response is, "What do you do when he's not nice to you?" You should attempt to translate the clients' description of their problems into behavioral terms and behavioral interactions. Your responses should be designed to help the clients specify behaviors (theirs or others) which need to be learned or unlearned, to discover how these behaviors can be or are maintained, and to discover possible effective reinforcers that can be used in the process of behavior change. Examples of these types of responses are, "So when she asks you a question, you usually give her a one or two word answer"; "She doesn't usually pursue the conversation any further, and your anxiety decreases"; "What kinds of topics do you like to talk about and know quite a bit about?" The next step in the behavioral counseling process is the formulation of counseling goals, but it is not expected that this stage will be reached in one 45-minute interview. If so, however, you should focus discussion on what clients want to accomplish, and you and your clients should list various alternative behaviors which might reach their goals.

Examples of these types of responses are, "Are you saying that going out on a date every weekend is your goal?" "Joining a club is a good way to meet people."

Controlled Verbal Responses

You should refrain from using self-disclosure at any time, and you should be consistent in the number of open-ended questions you use in each phase of the interview and across interviews. You should also be consistent in the amount you talk. Be aware of your talk time in each phase; keep it short and concise; and do not use extended information-giving or interpretive responses. Try to be consistent in your nonverbal behavior across counseling styles and interviews. For example, if you keep eye contact with the client 90% of the time with one style, don't reduce this to 25% in the other style. Minimal encouragers may be used except after clients have expressed overtly their feelings. You should avoid using any unusual, experimental, or threatening techniques such as role-playing, empty chair, behavior rehearsal, modeling, etc. Counseling should be as continuous as possible across phases and as similar as possible between the same counseling style in different interviews.

Counselor Verbal Responses

Empathic counseling style only (CER, phase B). In this counseling style reflection of feelings as defined below will be emphasized, but the other counselor verbal responses defined under behavioral and empathic counseling styles will be allowed.

1. Reflection of feelings: This is a repeating or rephrasing of the client's statement. It must contain reference to stated or implied feelings. It may be based on previous statements, nonverbal behavior, or knowledge of the total situation. It may be phrased either tentatively or as a statement.

Examples: "You feel sad because your dog died." "You're elated at the news of your new job appointment."

Behavioral and empathic counseling styles.

1. Minimal encourager: This consists of a short phrase that indicates simple agreement, acknowledgement, or understanding. It encourages but does not request the client to continue talking; it does not imply approval or disapproval. It may be a repetition of key word(s) and does not include responses to questions (see information-giving).

Examples: "I see," "I know," "mm hm."

2. Approval-reassurance: This provides emotional support, approval, or reinforcement. It may imply sympathy or tend to alleviate anxiety by minimizing the client's problems.

Examples: "I know things are rough for you now, but they'll get better." "That's an excellent idea!"

3. Information-giving: This supplies information in the form of data, facts, resources, theory, and the like. It may be information specifically related to the counseling process, counselor's behavior, or arrangements (time, place, fee, etc.). It may answer direct questions but does not include directions for what the client should do (see direct guidance).

Examples: "The Psychology Department is in Ayres Hall." "The counseling center is open until 5:00 P.M."

4. Direct guidance: This consists of directions or advice that the counselor suggests for the client, or for the client and counselor together, either within or outside the counseling session. It is not aimed at soliciting verbal material from the client (see closed or open question).

Examples: "Please speak louder." "Try saying hello to five people today."

5. Closed question: This is a data-gathering inquiry that requests a one- or two-word answer, a yes or no, or a confirmation of the counselor's previous

statement. The possible client responses to this type of inquiry are typically limited and specific. If statements are phrased in the form of a closed question but meet the criteria for another category, they should be put in the other category.

Examples: "Do you want to continue counseling?" "Do you want to major in English or psychology?"

6. Open question: A probe requests a clarification of feelings or an exploration of the situation without purposely limiting the nature of the response to a yes or no or a one- or two-word response. If statements are phrased in the form of an open question but meet the criteria for another category, they should be put in the other category.

Examples: "What is it like for you to win the award?" "How did it go with your family this week?"

7. Restatement: This is a simple repeating or rephrasing of the client's statement(s) (not necessarily just the immediately preceding statements). It typically contains fewer but similar words and is more concrete and clear than the client's message. It may be phrased either tentatively or as a statement.

Examples: "You seem to be saying that you could do the school work if you put your mind to it."

8. Nonverbal referent: This points out or inquires about aspects of the client's nonverbal behavior, for example, body posture, voice tone or level, facial expressions, gestures, and so on. It does not interpret the meaning of these behaviors.

Examples: "What did that grimace mean?" "Your voice seems shaky."

9. Interpretation: This goes beyond what the client has overtly recognized. It might take one of several forms. It might establish connections between seemingly isolated statements or events; it interprets defenses, resistance, or transference (the interpersonal relationship between counselor and client); it might indicate themes, patterns, or causal relationships in the client's behavior or personality. It usually gives alternative meanings for old behavior or issues. If a statement also meets the criteria for a confrontation, it should be put in the confrontation category.

Examples: "I've noticed that you responded with silence on other occasions when I made a suggestion." "I wonder if this is how you responded to your father's suggestions?"

10. Confrontation: This contains two parts: The first part may be implied rather than stated and refers to some aspect of the client's message or behavior; the second part usually begins with a "but" and presents a discrepancy. This contradiction or discrepancy may be

between words and behavior, between two things the client has stated, between behavior and action, between real and ideal self, between verbal and nonverbal behavior, between fantasy and reality, or between the counselor's and the client's perceptions.

Examples: "You said you were going to ask her for a date a few minutes ago, but now you don't sound so sure." "You told the teacher you would do your homework, but you ended up playing basketball."

11. Silence: A pause of five seconds is considered the counselor's pause if it occurs following a client's statement and before a counselor's statement or within the client's statement (except after a simple acceptance of the counselor's statement, e.g., "Yes," pause).

Prohibited verbal response in both counseling styles.

1. Self-disclosure: This usually begins with an "I". The counselor shares his or her own personal experiences and feelings with the client. Note that not all statements that begin with an "I" are self-disclosure; it must have a quality of sharing or disclosing.

Examples: "I'm feeling uncomfortable with this long silence." "I also felt rejected in high school."

Note: The definitions of counselor verbal responses were taken from Hill (1978).

APPENDIX E

INSTRUCTIONS FOR EMPATHY RATERS

You have volunteered to rate counselor empathy. After reading and discussing these instructions, you will listen to several practice tapes of counseling interviews. As you listen to a tape, rate each counselor response (all counselor speech between two client verbalizations) as either ON or OFF according to the written criteria below and using the rating sheet which is attached. After you have rated a 10-minute tape, the raters and experimenter will go back, discuss discrepant ratings, and come to a consensus on the ratings. This process will be repeated for enough taped segments to obtain near consensus without discussion. This is expected to take approximately seven hours of training. When the experimenter judges that raters are in agreement 95% of the time, a reliability coefficient will be calculated on a 10-minute segment. If the coefficient is above .94, training will be terminated.

Several pilot interviews, 16 minutes in length, will be run to give the confederate counselors practice and to make procedural checks. You will rate these interviews for counselor empathy. This time you will use a transcript of the interview and will print "ON" at the end of each counselor response which is judged to be empathic, and "OFF" at the end of each counselor response which is judged to be nonempathic. You will rate these tapes alone and may stop the tape at any time or replay a section. Please do not discuss your ratings with other raters. When you have finished rating the tape, return it and the transcript to the experimenter who will check inter-rater reliability. If interrater reliability decreases below a minimum level, the experimenter may ask you to discuss your ratings and/or practice before the next pilot interview is rated. The rating of pilot interviews may take 30 minutes each, and no more than four pilot interviews are anticipated.

After the pilot interviews have been completed, four, forty-five minute interviews will be conducted for the main study. You will rate randomly arranged 10-minute sections of two interviews by printing "ON" and "OFF" after typewritten counselor responses while listening to a tape. It will take you approximately 160 minutes to rate 80 minutes of tape. In all, your involvement is predicted to take approximately 10 hours and 20 minutes spread over two months.

Definition of Empathy

"Accurate empathy involves both the sensitivity to current feelings and the verbal facility to communicate this understanding in a language attuned to the client's current feelings" (Truax, 1967, p. 555). The communication of accurate empathy allows clients to identify more clearly their confusion, fear, rage, anger or other feelings.

The greater the degree of accurately empathic understanding exhibited by the therapist toward the client, the greater was the evidences of the client's engagement in the process of therapy and his (sic) consequent personality change. (Rogers & Truax, 1967, p. 107)

Reflection of feelings is one way in which empathy is communicated (Truax & Carkhuff, 1967a). Counselors reflect what clients have expressed in order to capture the essence of the underlying and often unclear feelings of the clients. When counselors are on target, their remarks fit perfectly with their clients' mood and content. Counselors' responses not only indicate their sensitive understanding of the obvious feelings, but also serve to clarify and expand clients' awareness of their own feelings or experiences. When counselors are inaccurate in their reflections of feelings, they may be misinterpreting what the clients are saying or feeling. They may be concentrating on the intellectual content, evaluating clients, giving advice, sermonizing, or reflecting the counselors' feelings (Truax & Carkhuff, 1967a).

Criteria for ON-OFF Judgments

"ON"

1. Intent, even if feeling word is not said, e.g., "It would feel good to knock his block off."
2. Feeling identified and moving into problem solving, e.g., "Have you thought about telling him how angry you're feeling?"
3. Use of feeling word (appropriate), e.g., "You look depressed."
4. Responding to feeling whether past, present or future.
5. Exploration of feeling--intensity, physical effects, duration.

"OFF"

1. Feeling stated but denied, e.g., "You really shouldn't be angry."
2. Feeling not clear, e.g., "It would make you feel better."
3. Use of "thinking" word vs. "feeling," e.g., "You feel they blame you."
4. Asking how client feels without stating feeling, e.g., "How did you feel?"
5. Use of wrong feeling word, e.g., "When the professor kicked you out of the class, that made you really tense."

Other rating procedures:

1. One continuous response if client says, "yes," and there is a definite continuation by the counselor such as "uh" and "and."
2. Do not rate a counselor response of only "yeah," "yes," or "no."

Note: Criteria were taken from Hayes (1979).

Rating Sheet for Empathic Responses

Response # ON OFF

1. ☐ ☐
2. ☐ ☐
3. ☐ ☐
4. ☐ ☐
5. ☐ ☐
6. ☐ ☐
7. ☐ ☐
8. ☐ ☐
9. ☐ ☐
10. ☐ ☐
11. ☐ ☐
12. ☐ ☐
13. ☐ ☐
14. ☐ ☐
15. ☐ ☐
16. ☐ ☐
17. ☐ ☐
18. ☐ ☐
19. ☐ ☐
20. ☐ ☐

APPENDIX F

RATIONALE FOR THE EMPATHY MEASURE

In the present study the independent variable is the presence of low or high levels of counselor empathic responses. An instrument was required to check on the successful manipulation of counselor empathy in both training and experimental interviews. Several instruments are available for the measurement of empathy, and these have been discussed by various authors concerning their reliability and validity (Feldstein & Gladstein, 1980; Gladstein, 1977; Gormally & Hill, 1974; Lambert & Dejulio, 1977; Lambert, Dejulio & Stein, 1978).

The instrument chosen for the present study is a relatively new instrument developed in a study of counselor empathic responses to negative affect (Hector et. al., 1981). The scale uses dichotomous ratings and thus requires less sophistication, training, and subjectivity in its use. The fewer categories used in the rating, the fewer judgements which will have to be made. Also, the psychometric properties associated with fewer categories are desirable: it leads to a higher reliability of ratings.

Several issues concerning the use of rating scales were considered in the present design. It has been common practice in research using empathy rating scales

to rate samples from the interviews. This procedure has been challenged by a number of authors due to the variability of counselor empathy within and across interviews (Beutler, Johnson, Neville, & Workman, 1973; Gurman, 1973; Mintz & Luborsky, 1971). Thus the entire interviews in the present study were rated.

Controversy and resulting inconsistency has characterized the research concerning whether to use naive raters or sophisticated, experienced, clinical raters (Lambert, Dejulio, & Stein, 1978). As these latter authors suggest, when a rating scale requires many inferences and interpretations of client and therapist responses, some degree of experience and sophistication with the use of empathy is required. Thus, in the present study, upper level doctoral students in counseling psychology were chosen.

APPENDIX G

TABLES OF PROCEDURAL CHECKS

Table G.1

Proportions of Counselor Empathic Responses
in each Phase of each Interview

Interview	Phase	Empathy	% Empathic Responses	Z
1	1	ON	73	5.6*
	2	OFF	22	2.1
	3	ON	41	5.0*
	4	OFF	5	
2	1	OFF	5	6.6*
	2	ON	52	6.8*
	3	OFF	4	11.4*
	4	ON	76	
3	1	OFF	0	7.7*
	2	ON	83	9.1*
	3	OFF	0	6.1*
	4	ON	65	
4	1	ON	95	19.0*
	2	OFF	3	11.7*
	3	ON	85	7.3*
	4	OFF	20	

*p<.004

Table G.2

Probes in each Phase of each Interview

Interview	Phase	Treatment	# of Probes
1	1	ON	6
	2	OFF	4
	3	ON	4
	4	OFF	8
2	1	OFF	8
	2	ON	8
	3	OFF	7
	4	ON	6
3	1	OFF	0
	2	ON	1
	3	OFF	2
	4	ON	0
4	1	ON	1
	2	OFF	2
	3	ON	1
	4	OFF	7

Note. A chi square was performed to check for significantly different frequencies of probes across phases of each interview. For interview 1 chi square(3) = 2, $p > .05$. For interview 2 chi square(3) = .38, $p > .05$. For interview 3 chi square(3) = 3.7, $p > .05$. For interview 4 chi square(3) = 9, $p > .05$.

Table G.3

Descriptive Statistics for Counselor Length of
Utterance in Interviews 1 and 4

Interview		Phase/Empathy			
		1/ON	2/OFF	3/ON	4/OFF
1	N	28	16	32	23
	M	3	4	3	6
	SD	2	3	2	5
4	N	19	15	16	21
	M	4	4	6	3
	SD	3	3	4	4

Note. Length of utterance is operationalized as clauses per utterance.

Table G.4

Descriptive Statistics for Counselor Length of
Utterance in Interviews 2 and 3

Interview		Phase/Empathy			
		1/OFF	2/ON	3/OFF	4/ON
2	N	32	25	31	25
	M	3	3	4	3
	SD	2	2	3	2
3	N	6	7	13	9
	M	2	3	3	4
	SD	2	2	2	3

Note. Length of utterance is operationalized as clauses per utterance.

Table G.5

ANOVA Summaries for Counselor
Length of Utterance

Interview	Source	SS	df	MS	F
a 1					
a 2					
3	Between	13	3	4	.85
	Within	156	31	5	
4	Between	65	3	22	1.66
	Within	876	67	13	

Note. Length of utterance is operationalized as clauses per utterance.

a
The assumption of homogeneous variance was not met, so Kruskal Wallis Analysis of Variance was computed for these variables. These tests revealed no significant differences across phases in either the first interview, $\chi^2(3) = 4.69$, $p > .05$, or the second interview, $\chi^2(3) = 4.90$, $p > .05$.

Table G.6

Nonverbal Behavior Rates of Responding and
Chi Squares for Pilot Study

Behavior	Counselor	Phases				χ^2	$p(\chi^2)$
		1	2	3	4		
Head nod	1	6.3	4.2	5.0	6.0	.53	>.90
	2	3.4	1.9	3.6	2.7	.61	>.90
Hand gesture	1	5.6	8.6	6.9	5.4	1.01	>.75
	2	5.0	6.0	5.6	5.8	.11	>.99
Smile	1	.7	.2	.4	.3	.41	>.90
	2	0.0	0.0	0.0	.4	1.05	>.75
Leg movement	1	10.4	10.1	8.6	8.9	.25	>.95
	2	1.1	1.2	2.2	2.4	.83	>.75
Arm-hand movement	1	.5	.3	1.7	1.3	1.30	>.50
	2	2.0	3.5	2.8	1.7	.79	>.75
Eye contact	1	.4	0.0	.4	0.0	.77	>.75
	2	.2	.6	.4	.3	.21	>.98

Note. Forward trunk lean was observed a total of one time in the course of two interviews. The operational definition of each behavior is found in Appendix H. Frequency of occurrence was divided by the time in each phase because phases were of slightly different lengths.

APPENDIX H

COUNSELOR NONVERBAL BEHAVIOR CATEGORY SYSTEM

CONTINUOUS BEHAVIORS

Eye Contact
Forward Trunk Lean

DICHOTOMOUS BEHAVIORS

Head Nod
Smile
Hand Gesture
Foot & Leg Movement
Arm-Hand-Finger
Movement

General Instructions: Each tape will be labeled with an interview code and the tape counter numbers corresponding to the beginning of each of six sections (subdivisions) of the tape. Put the interview code, section number, and your initials at the top of each recording form. Do your ratings independently of the other raters, that is, do not discuss your ratings with them. Reset the tape counter on the videotape recorder to 000 at the beginning of the tape when you first see the counselor or client on the TV screen. The screen will go blank for a second at five points during each interview to cue you to begin a new section. These points should correspond to the counter numbers on the tape label and signal the beginning of each section. At each of these points start a new section on your recording form and mark the counter number from the tape in the appropriate place on your recording form. The counselor will always appear on the right of the TV screen. Begin rating behaviors after the counselor sits down and gets settled. Stop rating behaviors after the fifth section of the tape.

Watch each videotape of a counseling interview six times without listening to the sound track. The first time you should watch for the continuous behaviors exhibited by the counselor, i.e., eye contact, and forward trunk lean. As you notice the beginning or ending of one of these behaviors, write the counter number under "B" (begin) or "E" (end) in the row adjacent to that behavior on your recording form. You may stop and replay a part of the tape if you need to.

You should watch the videotape of an interview once for each of the other five behavior categories, i.e., head nod, hand gesture, hand movement, smile, leg and foot movement. As you notice one of these behaviors, put a mark in the appropriate box on your recording form.

You may stop the tape at any time, but do not rewind unless you start back at the very beginning of a section.

Read the following instructions and use the following descriptions of the nonverbal behaviors to make your judgements about their presence or absence.

(1) Eye contact: measured as a continuous variable. The counselor's gaze is directed at the client's face.

(2) Forward trunk lean: measured as a continuous variable. This category is intended to distinguish between two trunk positions: (a) upright or leaning back against the back of the chair and (b) leaning forward so that trunk is noticeably leaning toward the client. The counter number should be written in the column under "B" when forward trunk lean begins and under "E" when forward trunk lean ends.

(3) Head nod: a movement of the head up and down with at least one upward and one downward movement together. Count only vertical head movements, affirmative nod, not horizontal movements, negative nod. You should count sets of nods, not individual nods. That is, when the counselor begins nodding, it will be counted as one continuous set of nods until you detect a pause in the head movement. Then when the counselor begins nodding again, add one to the count again.

(4) Smile: a movement of the lips such that the corners of the mouth rise up. One should be added to the count every time the counselor stops and then starts to smile in this way. In other words a discrete pause must be noticed before two smiles are counted instead of one.

(5) Hand gesture: any movement of one or both hands which seems to be used as a gesture. One should be added to the count for each motion in a gesture. In this case a set of continuous hand gestures will result in several units being added to the count, one for each discrete movement in the gesture.

(6) Arm-hand-finger movement: any movement of the arms, hands or fingers except that defined as hand gesture. One should be added to the count each time the counselor begins moving his or her arm, hand or finger after she or he has stopped moving it from the previous movement. That is, a pause should be detected in hand movement before a unit is added to the count. Any time the counselor has his or her hands resting on his or her legs or lap, and the counselor moves his or her legs, count hand movement only if the hand(s) make a movement other than that required by the leg movement, i.e., the hands "riding" the leg movement.

(7) Leg and foot movement: any movement of the legs or feet. One should be added to the count each time the counselor begins moving his or her feet after she or he

has stopped the last movement. That is, a pause should be detected in foot movement before a unit is added to the count.

APPENDIX I

TABLE OF EXPLORATORY ANALYSIS

Table 1

Exploratory Analysis Comparing Client's Mean Length
of Utterance after Empathic or Nonempathic
Counselor Utterances

Interview	Counselor Utterance Means		t Value	p(t)
	Empathic	Nonempathic		
1	5	7	14.41	<.001
2	7	7	.13	>.05
3	22	32	4.91	<.001
4	9	12	15.55	<.001

Note. Probabilities are two-tailed.

VITA

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