

1 **Title Page**

2 **Measuring Medical Students' Empathy: Exploring the Underlying Constructs of**
3 **and Associations Between, Two Widely Used Self-Report Instruments in Five**
4 **Countries.**

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36

37 **Abstract**

38 **Purpose:** The definition of clinical empathy is unclear and evidence about its
39 development among undergraduate medical students conflicting. These problems may
40 stem from the instruments used to measure medical students' empathy. The authors
41 sought to enhance understanding of the underlying constructs of two of the most widely
42 used self-report instruments: Davis's Interpersonal Reactivity Index (IRI) and Jefferson
43 Scale of Empathy (Student version) JSE (S), and of the distinctions and associations
44 between these instruments.

45 **Methods:** IRI and JSE-S were administered in three separate studies between 2007 and
46 2014, in 5 countries (Brazil, Ireland, New Zealand, Portugal, United Kingdom). Data
47 from 3069 undergraduate medical students were collected. Exploratory factor analyses,
48 correlation analyses and multiple linear regression analyses were performed.

49 **Results:** Exploratory Factor Analysis yielded identical results in each country,
50 confirming the subscale structures of each instrument. Results of correlation analyses
51 indicated significant but weak correlations ($r=.313$) between the total IRI and JSE-S
52 scores. All inter-correlations of IRI and JSE-S subscale scores were statistically
53 significant but also weak (range $r=-.040$ - $r=.306$). Multiple linear regression models
54 revealed that the IRI subscales were weak predictors of all JSE-S subscale and total
55 scores. The IRI subscales explained between 8.9% and 15.3% of variance for JSE-S
56 subscales and 19.4% for JSE total score.

57 **Conclusions:** The IRI and JSE-S are only weakly related, suggesting that they measure
58 different constructs. Research into, and interventions addressing medical student
59 empathy need clearer understanding and definition of the construct under consideration
60 as results from the two scales are not comparable.

61 **Introduction**

62 Empathy is a core element in patient care. It may enhance patients' satisfaction and
63 trust, so facilitating compliance and adherence to therapy.¹⁻⁴ Receipt of empathy may
64 be therapeutic in its own right.⁵⁻⁷ Greater trust by the patient may encourage better
65 exchange of information in consultations, enabling better diagnosis and shared decision
66 making.^{1,4,8} From the doctor's perspective, empathy may lead to better clinical
67 decisions,⁹⁻¹¹ greater job satisfaction, and enhanced psychological well-being.^{10,12-15}
68 The development of empathy among medical students would seem crucial to future
69 patient care.

70 However "clinical empathy" is poorly defined and measured.^{9,16-18} It has been seen as
71 the ability to:

- 72 1. understand the patient's situation, perspective and feelings (and their attached
73 meanings)
- 74 2. communicate that understanding and check its accuracy
- 75 3. act on that understanding with the patient in a helpful (therapeutic) way.¹⁹

76 This definition implies a multi-dimensional construct incorporating affective, cognitive,
77 behavioural and moral components.

78 For patients it is the empathetic behaviour they receive which is important. However
79 asking patients to assess medical students' empathy is problematic and studies using
80 simulated or standardised patients have produced mixed results.²⁰⁻²² Most studies of
81 medical student empathy rely on self-report measures, rather than direct observations.¹⁸
82 The most widely used instruments are Davis's Interpersonal Reactivity Index (IRI) and
83 the Jefferson Scale of Empathy (Student version) JSE- S.^{23,24}

84 Davis considered empathy to be a set of related constructs, concerning responsivity to
85 others, but each discriminable from each other.²³ The IRI comprises 28 items (9
86 negative) forming four, 7 item, subscales: Perspective Taking (IRI-PT) assessing
87 consideration for the psychological point of view of the other person; Empathetic
88 Concern (IRI-EC) assesses consideration for their feelings and concerns, Personal
89 Distress (IRI-PD) assessing personal anxiety in tense interpersonal settings and Fantasy
90 Scale (IRI-FS) assessing tendencies to transpose oneself imaginatively into the feelings
91 and actions of fictional characters.²³ IRI-EC and IRI-PT have be seen as “other-
92 oriented” and IRI-PD and IRI-FS as “self-oriented”.^{25,26} IRI-EC and IRI-PD relate to
93 affective aspects while IRI-PT and IRI-FS to cognitive aspects. Respondents rate the
94 extent to which statements apply, from “Does not describe me very well” to “Describes
95 me very well” on a 5-point Likert scale.²³

96 The IRI has been used in a wide variety of contexts including neurological studies,²⁷
97 clinical conditions^{28,29} and criminology.³⁰ It has been found to have good psychometric
98 properties and is regarded as a valid, and reliable instrument for measuring empathy.³¹
99 Although less well used with medical students the factorial structure proposed by Davis
100 has been supported in studies among college students.³²

101 The JSE was developed as measure of empathy applicable to patient care.²⁴ This 20
102 item scale comprises three underlying factors: Perspective Taking (10 positively
103 worded), Compassionate Care (8 negatively worded) and Standing in the Patient’s
104 Shoes (2 negatively worded). Most studies of medical student empathy report only the
105 total JSE-S score.³³ Respondents rate their level of agreement with each statement on
106 an ascending 7-point Likert scale (1 to 7). Used in a variety of cultural settings for
107 assessing the empathy of medical students, nurses and other healthcare students its
108 validity and reliability have been well supported^{18,34-38}

109 Among healthcare students and practitioners the IRI subscales commonly used are the
110 “other oriented” scales of IRI-EC and IRI-PT.^{39,40} The distinction between cognitive
111 and affective components is less clear in the JSE with both “Standing in the patient’s
112 shoes” and “Perspective Taking” appearing to reflect the cognitive component of
113 empathy.⁴¹

114 The IRI and JSE-S were conceived with different populations in mind. The IRI is
115 applicable to the general population and seen to reflect generic or dispositional
116 empathy.²³ The JSE is applicable to those engaged in healthcare and hence seen to
117 measure empathy specific to that context.²⁴ Studies of undergraduate medical students
118 in different countries using the IRI have shown that they fall within the norms for IRI-
119 EC and IRI-PT.⁴² It would seem reasonable to expect at least a moderate associations
120 between some of the IRI and JSE-S subscales. Further, a study of medical students
121 found a moderate correlation between the total scores of the JSE-S and IRI ($r = .45$,
122 $p < .01$).⁴⁴ However, unlike the JSE-S, the IRI subscales are not normally summed to a
123 total score.¹⁸

124 To consider the underlying structural and conceptual differences of the IRI and JSE this
125 study asked:

- 126 1] Whether the underlying factorial structures of the IRI and JSE-S reflected the
127 dimensional constructs of empathy indicated by their respective subscales:
- 128 2] How the scales related to each other in terms of their total and subscale
129 scores:
- 130 3] Whether scores on the IRI as a generic measure of empathy predicted scores
131 on the JSE-S as a measure of empathy specific for healthcare.

132 **Method**

133 Data were obtained from three separate studies.

134 Study one included data from 16 UK medical schools, one in Ireland and one in New
135 Zealand. All students beginning and all students approaching the end of, their
136 undergraduate medical education were invited by email to participate in an international
137 comparison. An online questionnaire survey took place between September 2013 and
138 July 2014, and examined empathy, (IRI and JSE-S), psychological wellbeing, death
139 anxiety and attitudes towards end of life care. Overall ethical approval was granted by
140 the Psychology Research Ethics Committee of the University of Cambridge and by the
141 relevant bodies in each participating school.

142 Study two was based in one Portuguese University. For each year between 2007 and
143 2014 students beginning their undergraduate medical education were invited to
144 complete a paper questionnaire covering the JSE-S. In January and February 2013
145 students in all years were invited to complete a paper questionnaire covering the IRI.
146 Data collection and storage were authorized by the Portuguese Commission for Data
147 Protection (CNDP: 10432/2011). Retrospective approval was obtained: - Subcomissão
148 de ética para as Ciências da Vida, process SECVS - 071/2013.

149 Study three was undertaken in one university in Brazil. In 2011 and 2012, all
150 undergraduate medical students in years 4 and 6 were invited to complete paper
151 questionnaires covering both the IRI and JSE-S. Ethical approval was granted by the
152 Research Ethics Committee in Human Beings at the Faculty of Medical Sciences of
153 Unicamp.

154 In all studies participants gave prior consent either in writing or online, and
155 participation was voluntary and anonymous with no incentives offered.

156 **Participants:**

157 **Table 1.** Sample characterization (Sex, Country and Entry Scheme)

158

159 Medical schools in the studies offered “standard” courses lasting 5/6 years, with
160 students typically aged 18 or 19 on entry. Some schools also offered 4 year accelerated
161 “graduate entry” courses for students typically aged 21 or over on entry who had
162 obtained a first degree.

163 The timing and balance of biomedical science and clinical course components in the
164 participating schools varied. Some schools devoted the early years largely to biomedical
165 sciences, others adopted a more integrated approach. This study did not set out examine
166 in detail the nature of the courses offered and simple labels such as “integrated” may not
167 fully represent course content and structure.

168 The sample comprised 3,069 medical students (Table 1) of whom 2059 (67.1%) were
169 from the UK and 1887 (61.5%) were female. The majority of students (2619, or 85.3%),
170 had entered standard courses. A statistically significant, but small in terms of effect size,
171 difference in gender composition of samples in each country was found, with
172 proportionately fewer males among the Portuguese sample and proportionately more
173 males among the Brazilian sample. ($\chi^2_{(4, n=3069)} = 9.6, p = .047, \text{Cramer's } V = .056$).

174 **Instruments:**

175 We used the JSE-S (student version) in all countries. The IRI Portuguese version is 24
176 items as opposed to 28 and was the result of a validation study which demonstrated

177 factor loadings $<.35$ for items numbered 1, 15, 18 and high standardized residual for
178 item 10. ⁴⁴ We adjusted the item numbers of the 28 item IRI used in other countries to
179 those of the Portuguese version to allow IRI data to be merged.

180 **Data analysis and modelling strategy:**

181 We merged the JSE and IRI items and converted them into in the same scale using z
182 scores. We used exploratory factor analysis (EFA) to explore the factorial structure of
183 all IRI and JSE items, using the scree plot, the Kaiser's eigenvalue > 1 method and
184 Parallel Analysis (PA) to explore the optimal number of factors and principal axis
185 factoring (PAF) with oblimin rotation. We used Cronbach's Alpha to measure internal
186 consistency and Pearson correlation coefficient to examine associations between
187 subscale and total scores of each scale. We examined the effects of country and sex on
188 subscales scores using MANOVA and on the total JSE-S scores using ANOVA. (The
189 results of these are presented in the appendix.) We used multiple linear regression to
190 examine the extent to which IRI scores predicted JSE scores (total and subscale) with
191 IRI subscales, country, sex and entry scheme being independent variables. Data
192 analyses were performed using IBM SPSS Statistics v22 and the R.Commander ⁴⁵ and
193 the *psych* package. ⁴⁶ We considered P values of 5% as significant and interpreted
194 effect sizes according to values given by Cohen(1988). ⁴⁷

195 **Results**

196 **Latent dimensions of the IRI and JSE: (Table 2)**

197 **Table 2.** Exploratory Factor Analysis (communalities and loadings) for IRI and JSE
198 items and Cronbach's Alpha scores

199 An EFA performed on the combined IRI and JSE-S datasets z-scores, resulted a **nine**
200 factor solution according to the Kaiser's eigenvalue >1 method and an **eight** factor

201 solution according to the PA and scree plot analysis (the line straightens after the eighth
202 factor). Both solutions produced some dimensions with critical internal consistency
203 values (Cronbach's alphas lower than 0.60). Therefore, the theoretically anticipated
204 solution of **seven** factors accounting for 44.6% of variance was tested and led to higher
205 and more acceptable internal consistency values. For the final EFA **seven** factors
206 solution, measures of appropriateness of factor analysis were checked including KMO =
207 .873 and Bartlett's test ($\chi^2_{(946)} = 33016, p < .001$).

208 Considering the theoretical structure, a practical significance of 5% and an acceptable
209 factor loading of ≥ 0.224 were found for all item. All items clustered as expected and
210 recorded the highest loading on their original dimension with the exception of JSE-S
211 item 14, which loaded higher onto JSE-PT than onto its original JSE-CC dimension.
212 Nine items showed significant double loadings, but none crossed the two scales. In each
213 of the five countries the seven factor structure revealed a satisfactory fit, (Table 2) with
214 the exception for JSE-SPS dimension in Ireland (Cronbach's alpha=0.472).

215 **Pearson correlations for all IRI and JSE subscales: (Table 3)**

216 **Table 3.** Pearson correlations for IRI and JSE subscales and total scores.

217 **Within scale associations:** For both the IRI and JSE-S correlations between each
218 subscale score and the total score were statistically significant: for the IRI generally
219 strong ($r = .431$ to $r = .712$), for the JSE-S, moderate ($r = .377$) to very strong ($r = .854$).
220 Correlations between the subscales within each scale were significant but less strong.
221 For the IRI these ranged from $r = .061$ between IRI-EC and IRI-PD to $r = .403$ between
222 IRI-EC and IRI-PT. A negative association was found between IRI-PD and IRI-PT. For
223 the JSE the range was $r = .114$ between JSE-SPS and JSE-PT and $r = .467$ between JSE-
224 PT and JSE-CC.

225 **Between scale associations:** The correlation between total scores of JSE-S and IRI was
226 positive and significant, but weak $r=.313$. All inter-correlations of JSE-S and IRI
227 subscale scores were statistically significant but weak, ranging from $r=-.040$ (JSE-PT
228 with IRI-PD) to $r=.306$ (JSE-PT with IRI-EC). The only exception was the non-
229 significant, negative correlation between IRI-PD and JSE-CC ($r=-.016$). The correlation
230 between the subscales scores of one scale and the total score of the other scale were also
231 all statistically significant but weak. IRI-PD was negatively associated with all JSE
232 subscales scores.

233 **Multiple linear regression models:**

234 **Table 4.** Multiple linear regression models for JSE dimensions.

235 The multiple linear regression analyses tested whether the IRI subscales, gender,
236 country, and entry scheme significantly predicted JSE subscale and total scores. The
237 reference categories were female, UK and standard entry (Table 4.) All regression
238 models were significant, with a relatively low adjusted R squared, varying between
239 8.9% and 15.3% of explained variance for JSE-S subscales and 19.4% for JSE total
240 score.

241 With the exception of IRI-PD, all IRI subscales were significant, positive, predictors of
242 each JSE subscale. Sex, was significant in all regression models except for JSE-PT. The
243 extent to which students in countries differed from those in the reference country (UK)
244 varied between instruments and between subscales of each instrument. Overall students
245 in Brazil differed most from those in the UK whereas students in Ireland differed least.
246 Entry scheme was not significant in any of the four tested models. The most pronounced
247 predictor of total JSE-S score was IRI-EC.

248

249 **Discussion**

250 This study found that the dimensional structure of each instrument reflected its
251 composite subscales with strong internal consistencies. The EFA results supported the
252 cross-cultural construct validity and stability of both scales. For the IRI, our study
253 confirmed Davis's 4 factor structure in 5 countries. To the authors' knowledge this
254 factorial structure has been confirmed in studies of college students albeit with minor
255 variations ³² but never before among medical students .

256 For the JSE, our results broadly accord with Hojat's original 3 factor structure and
257 within that, the prominence of Perspective Taking (JSE-PT).²⁴ The only exception to
258 this was the result for JSE-SPS in Ireland, possibly resulting from a combination of
259 small sample size and small number of contributing items (n=2).

260 Our findings accord well with international JSE-S studies of medical students which,
261 broadly support the 3 factor structure and their respective relative importance^{37, 38} but
262 with minor variations. For example studies of German and Japanese medical students
263 support the JSE-PT construct but report variations in JSE-CC, possibly attributable to
264 cultural differences. ^{37,49} A recent US study found the factorial structure of the JSE-S
265 varied between preclinical and clinical medical students. Such analysis was beyond the
266 scope of our study. ⁴¹

267 The shared variance between the scales and subscales found in this study support the
268 view that the scales measure different but related constructs. This view is further
269 supported the correlation results which revealed only weak correlations despite an
270 expectation of moderate correlations particularly in respect of subscale scores of IRI-
271 PT and JSE-S-PT and IRI-EC and JSE-S-CC. Multiple linear regression models
272 similarly suggested that all IRI subscales were weak predictors of the JSE-S subscale

273 scores and total score, with the strongest predictor of the JSE-S total score being the
274 IRI-EC.

275 The study supports the view of gender differences in respect of empathy with women
276 recording higher scores on self-report measures.

277 The suggestion that the two scales measure different but related constructs has
278 implications for medical education, and medical education research. Care is needed in
279 comparing studies using different scales. Conflicting results of studies of the trajectory
280 of empathy during undergraduate medical education may, in part, be attributable to the
281 use of instruments which are not comparable.^{33,39} Similar implications may apply to
282 intervention studies.

283 The suggested difference between to the two scales points to the need to clarify the
284 constructs being measured. Whereas the IRI measures generic empathy the JSE-S may
285 measure some idealized view of an empathic doctor-patient relationship. This
286 distinction is reflected in differences in the wording of the scales. The IRI asks
287 respondents the extent to which each statement “describes” his or herself, with all items
288 containing the words “I” or “me”. The JSE-S asks respondents for their level of
289 agreement with statements about either how “doctors” should behave or the doctor-
290 patient relationship, with only 4 items relating to the individual.

291 The IRI and JSE-S were conceived with different populations in mind. Generic
292 empathy may be shaped by personality, certain life experiences and possibly culture.
293 Studies in various cultures suggest that psychological conditions exert the largest
294 influence.⁴² As an idealized view of an empathetic doctor-patient relationship JSE-S
295 scores may be shaped by cultural influences affecting both medical education and
296 patient expectations.⁴⁹ These may be more amenable to training and education than IRI
297 scores.⁵⁰ Studies examining the impact of educational interventions aimed at enhancing

298 empathy have found a larger increase in JSE-S scores than in IRI scores.²² However
299 idealized views may also be more vulnerable to the hidden curriculum.¹⁶
300 To characterize and clarify how the IRI and JSE-S constructs relate to each other, and
301 how they change during medical education there is a need for more studies using both
302 instruments, for more qualitative and mixed methods work and for more longitudinal
303 work. If, as suggested the JSE-S measures context specific empathy then greater
304 attention needs to be paid to that context including perhaps critical incidents and
305 medical course content and structure. Our study only included undergraduate students.
306 Comparable studies of post graduate medical students and/or physicians are needed.
307
308 This is one of the few studies of medical students using both the IRI and JSE-S and to
309 the authors' knowledge the only study to include European, Brazilian and New Zealand
310 data. One of its strengths is the large number of participants drawn from 5 countries.
311 Whilst sample size in each country differed this was not a major limitation since one a
312 main goal of the study was to explore the latent structure of IRI and JSE-S. Another
313 limitation is that the analyses were run on the 24-item version of the IRI and did not
314 include age per se. Our study drew data from countries with essentially "European"
315 values which may explain the absence of marked cultural differences. Studies
316 comparing the IRI and JSE-S among medical students in countries with very different
317 cultural backgrounds, particularly those in which extreme scores have been recorded
318 would be valuable in identifying differences between generic empathy and what is
319 perceived to be an appropriate empathetic doctor/patient relationship.⁴²

320 **Conclusions**

321 The factor analysis undertaken in this study supports the accepted factorial structure of
322 the IRI and JSE-S and reaffirms the relationship of their respective subscales to the
323 underlying dimensions of empathy: affective and cognitive, and for the IRI self-oriented
324 versus other-oriented. These results are enhanced by being confirmed in 5 countries.
325 However, this study suggests that the IRI and JSE are structurally different, weakly
326 related concepts: the former generic or dispositional empathy, the latter context specific
327 empathy. Consideration of this distinction may give rise to implications for medical
328 education and may have implications for patient care. There is a need for more studies
329 using both instruments, involving those at different stages in medical training, and for
330 more longitudinal and qualitative studies in order to understand the practical
331 implications of this distinction.

332 **Conflict of interest statement**

333 The authors declare that the research was conducted in the absence of any commercial
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