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## ABSTRACT

Humor can be a crucial factor of learning environments and of communication. Recent investigations of humor in educational settings mostly focus on learning performance. This paper shifts the attention to the enhancement of social climate through humor. Humor can be an element to solve critical social situations. To develop humor, it is necessary to explore personal mental models associated with humor in advance. Therefore, a framework model is presented with its elements: action theory, humanistic psychology and Vipassana meditation technique to give guidance in the development of the preconditions of humor. Additionally, the investigation of humor has to integrate subjective perspectives of research objects. Contemporary research on humor is criticized to lack that issue and to work with a definition of humor that is not empirically based on the research context. This leads to a discussion of the kind of methods that are mostly used in humor research. Preliminary results coming from two studies on subjective theories of humor will be presented that emphasize the need to integrate personal opinions and to use qualitative approaches on such research questions. (Contains 62 references.) (Author/GCP)

# Humor in Educational Contexts

by

Leo Gurtler

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## Abstract

Humor can be a crucial factor of learning environments and of communication. Recent investigations of humor in educational settings mostly focus on learning performance. This paper shifts the attention to the enhancement of social climate through humor. Humor can be an element to solve critical social situations. To develop humor, it is necessary to explore personal mental models associated with humor in advance. Therefore, a framework model is presented with its elements: action theory, humanistic psychology and Vipassana meditation technique to give guidance in the development of the preconditions of humor. Additionally, the investigation of humor has to integrate subjective perspectives of research objects. Contemporary research on humor is criticized to lack that issue and to work with a definition of humor that is not empirically based in the research context. This leads to a discussion of the kind of methods that are mostly used in humor research. Preliminary results coming from two studies on subjective theories of humor will be presented that emphasize the need to integrate personal opinions and to use qualitative approaches on such research questions.

# Humor in educational contexts

## Overview

This contribution throws a view on humor as a relevant element of educational settings. It aims to show various potentials of humor to learning processes. Besides existent research on the side of learning effectiveness, this paper emphasizes strongly that humor owns qualities other than pure concentration on performance. These qualities that occupy a lot of attention on the social side of humor are under-represented in contemporary research and application of humor in learning environments. It is proposed that humor can be an important factor to solve critical social situations. Going further into that direction, humor concentrates on the establishment of necessary conditions to come into contact again. Future collaborative work becomes possible. This feature shifts the relevance of humor from a learning factor towards the field of social competence and conflict management.

To illustrate the function of humor in social situation, some other discussions on methodology have to be made in advance. This short paper will review some selected findings of humor research in education to explicate common methodological strategies and topics that can be found within humor research.

Following a critique on these studies and on their implicit methodological assumptions, the timeless question of a general definition of humor has to be raised. It will be stated that every definition of humor that is used interacts with research plans, research designs, and implicit methodological paradigms. In addition, psychological theories will be reviewed only very shortly. There are some good and elaborated synopsis and bibliographies available (e.g. Keith-Spiegel 1972, Jason Rutter 2002, Don Nilsen 2002, ...). These linkages would be necessary for a deeper discussion on theoretical parts. Most theories are built upon only a small selection of different definition approaches. Two approaches will be presented.

The topic - humor in critical social situations (CSS) - leads to the following presentation of a new framework model addressed to investigate humor. It aims to give guidance on humor research within CSS. It is not designed to add a new theory to humor, but to act as an integrating tool to structure research on social interaction.

The framework consists of three basic elements. These are (1<sup>st</sup>) an action approach model, coming from the research program of subjective theories (RST, Groeben and Scheele 1977), (2<sup>nd</sup>) humanism, humanistic psychology, and system theory/ communication theory (Maslow 1996, Watzlawick 1974, Schulz von Thun 1994). (3<sup>rd</sup>) The Buddhist meditation of Vipassana is chosen as a solution to develop prerequisites of a humorous life style. It offers training to master every kind of CSS through wisdom based on self-exploration. In return, social interaction will be grounded in knowledge about personal mental habits that influence communication and interaction.

A discussion about the implementation of alternative methods of research, coming from the field of qualitative psychology, will finish the section.

At last, some preliminary findings from two ongoing studies on subjective theories about humor will lead to some final words about methods and their limitations in humor research.

## Introduction

It is such that humor is often regarded as one of the most important demand characteristics of an ideal teacher. Besides expertise in didactic techniques and competence on specialized topics, teachers bear a heavy burden to stimulate a positive social climate. The task is to spread a collaborative atmosphere in classes and courses. This is especially important for the phase of adolescence. In that period of time, social identity and individuality are shaped and formed. This is also the stage which often decides about the level of later employment and the kind of profession (university, apprenticeship, ...). Mostly, adolescents have to spend a lot of time at school and there is plenty of time to give guidance and to influence the process of maturity in multiple ways. Humor can be understood as a tool to transfer oneself to a higher level of self-reflection. From that point, it is easier to be able to smile and laugh about oneself. Thus, humor can play an important role in education.

However, concrete application and systematic involvement of humor into the curriculum are both still missing in teacher training. Teaching humor is seldom a part of the curriculum to prepare students - who will become teachers - for their job. Furthermore, humor in educational contexts is mostly researched as a factor to enhance learning. Research topics are mainly focused on learning outcomes, enhanced retention and better performance. These studies focus on humor as a method which can be trained and elaborated according to contents of the course materials. Studies that focus on humor as a contributing factor to social competence, social interaction, and collaboration are under-represented. Furthermore, many teachers (e.g. in Germany) suffer sometimes for a period of time or even on the long run from exhaustion. This is known as "burn out" syndrome. Obviously, there can be many causes found that are responsible for this situation. Each individual also has his or her own history and personality that include vulnerabilities, but also strengths. However, if findings coming from psychotherapy (Farrelly and Brandsma 1988, Höfner and Schachtner 1997, Wippich and Derra-Wippich 1996) can be transferred into the field of education, it seems a possible and practicable way to enhance social climate and individual coping with stressful situations. In this sense, humor can integrate multiple roles: as a role-model (social learning theory: Bandura 1986), to prevent burn-out syndrome, to enhance performance (achievement) and - of course - to feel better and to integrate seriousness and funniness in life.

## Selected findings of humor research in educational settings

A selection of some interesting and relevant results will be reviewed in the following section:

Humor is only effective if it is connected to the learning material. If no connection can be experienced by students, humor only can act as an isolated distractor instead of an integrating factor of learning processes. Furthermore, teachers who do not draw linkages between humor and their course materials are regarded not as funny, but as incompetent (Zillmann and Bryant 1983: 177). Their trials to express humor neither gives guidance nor it facilitates remembering. It also does not stimulate information processes. The respect students have for them diminishes. The authors make a distinction between older children or students in contrast to young children. Children at the age of kindergarten do not seem to depend on a connection between humor and teaching contents. For them, it is appropriate to provide humorous incidents and events, that - from an external perspective - would seem to be isolated items. This can be explained by young children's cognitions that are not at the level of reflection on abstract levels (e.g. cognitive development theory by Piaget).

Another finding (Ziv 1988) deals with the frequency of humor interludes within the period of a course. It was found that 2-3 times (ibid.) are a good amount per session for high school students. Negative effects of too much humor refer to the same direction like the above findings of humor and its association with the discourse material: Teachers do lose competence/ respect out of the perspective of students. This can be understood in the way that teachers are not expected to act like "class clowns" but as professionals who have to do a job. And obviously, their job is teaching and not entertainment. However, teachers and lecturers are expected to do some entertainment from time to time. These events are expected to be funny, unconventional, and interesting. On the other hand, too less or no humor at all are both

equivalent to an avoidance of trying to make teaching interesting. But, mere “dry” lecturing is valued (if expertise is given and lectures are well structured) higher than ineffective entertainment. Both extremes do not support the curriculum in optimal ways. A best practice seems to be the “middle path”: Humor should be applied only at the right moment if it is dedicated to support the curriculum and the social atmosphere. But an intelligent timing of humorous incidents at the right place requires much preparation and practice in advance. Humor training is hard work.

A third finding supports the hypothesis that humor is really effective in learning environments. Ziv (1988) was able to present results that support the training of teachers to use humor in their courses. Humor material was developed, constructed and adopted to fit the needs of teachers and their topics they taught. Results showed a significant increase in afterwards tests. Students who were trained with the help of humor had better results than students who received teaching without any humor at all.

These empirical findings offer a promising view on humor and its effects on learning. The processes that seem to be responsible in these learning environments can be explained through several factors associated with humor. In reference to information processing models coming from Cognitivism and physiological findings it can be said that:

- Humor easily catches attention. If something is experienced as funny, it is not very difficult to follow that event. But humor does not only catch attention, it can also direct attention and give importance to relevant learning topics, issues, and details.
- The failure of too much humor can be attributed to the lack of possible connections between course material and humor. The building up of neuronal networks is not possible if there exists not at least an association between course material and humor. Young children do not develop such deep connections. They also do not make reflections on them. Therefore, for them humor acts as a mere relieve from tension and not as an active agent of learning processes and elaboration.
- Better attention can lead to better retention: The active processing of humorous events leads to an enhanced awareness of “what happens” and “what is going on”. To understand a wit, a remark and its connection to course topics, cognitive work is required. As a consequence the material is better processed, more details are present in the heads of student, and retention is enhanced. Cognitive networks are build up with strong knots and bonds. Different topics are encoded and linked in multiple ways. Afterwards, because humor is also an emotional experience, different sensual modes of information processing contribute to memory work. Chunks are coded in different ways. The possibility to remember and to get access to memories grows. At time of retention many more memories come up with relevant facts.
- The right timing of humor and the right amount of humorous events establish a balance of “fun” and “seriousness”. These two elements are not contradictory, but complementary. In combination of this two elements the possibility of mental balance, positive emotional experience, and motivation becomes greater. But if there is too much humor, the balance is destroyed. One thinks about “why this unnecessary wit”, “why this strange remark again and again” instead of following the topics. Attention diminishes, because no intelligent association can be found. On the other hand, if frequency and timing are appropriate, creativity and general problem solving (see also incongruity theory) are challenged.

## **Critique on methodological issues of contemporary humor research**

Typically, most of the reviewed studies share some commonalities that are representative for humor research: Most of them are part of methodological Behaviorism, Cognitivism, and personality psychology. It is very common to use experimental designs to validate the uniqueness of humor in contrast to other possible effects and components of learning environments. These designs try to isolate humor and its outcomes in contrast to other possible ingredients. These ingredients can be didactic methods, preparation and expertise of the lecturer, collaborative learning in groups versus individual learning, learning strategies, methods of chunking and memorization, and building up cognitive maps and networks.

Out of that reasons some aspects of research are always missing. The quality of the subjective experience of humor waits to be researched. The varieties of subjective experiences, compared to objective and

scientific theories of humor, are unknown. In particular, their role in behavior and in cognitive, emotional, and motivational activity is unknown, too. What really guides humorous activity is not reflected in humor research yet. If humor research focuses on the side of social competence, it is necessary to explore what people really think about humor. To elaborate this, the observation of actual (humorous) social interactions is recommended. But the exploration of such important issues requires a change in research methodologies. The field of qualitative methods are a promising field to fill that gap and to integrate existent results. To understand the difference between quantitative and qualitative methods in humor research, research strategies and their topics will be discussed in the following paragraph. The example of humor and its definition approaches illustrate that concern.

#### Strategies of humor research: humor, its definition and empirical manifestation/ indications of humor

An understanding of the strategies of contemporary humor studies leads to the assumption that the question of “what is humor” and “what is it not” plays a crucial role. Humor in empirical studies is mostly operationalized as “making wits”, “presenting funny cartoons” or “making humorous remarks”. These are handled as signs/symptoms for the existence of humor. They seem to be based on the supposition that they are identical with humor or they share - at least, if summed up together - a very big amount of meaning content.

No study was undertaken to validate the hypothesis of identity. Symptoms and manifestations of humor in educational settings have not been analyzed on their possible differential meaning for different people. In this article it is proposed that humor owns some meaning content which goes far beyond its “symptoms”. If humor is reconstructed from a subjective perspective, preliminary results of the author support that humor can not be fully replaced empirically by wits or cartoons. Its unique meaning beyond the surface is far from being identical with the comic/ witty area. But if wits etc. are not the same as humor, it is to question what studies based on wits etc. truly investigate.

But, on the other hand, if wits/cartoons/etc. do really enhance learning performance (and this was shown above as being true on a statistically significant basis), the situation changes. The question shifts from “what is humor” in these studies to the relationship between wit and humor. It becomes clearer and clearer that wits as valid manifestations of humor are effective. But all other aspects of humor are not covered at all by these outcomes. Of course, it can be argued that elements originating from the comic area have a significant influence on learning performance. But that is not the point. On the other hand, it can be also argued that wit and humor do not only have different roots and meaning histories (Schmidt-Hidding 1963); but they can be separated theoretically very clearly. This work was done long before even scientific psychology started in modern times (Jean Paul 1826ff., Dopychai 1988, see also Schütz in Schmidt-Hidding 1963). Freud (1999) as one of the first psychologist talking about humor as well as poet Jean Paul (ibid.) in the 17<sup>th</sup>/18<sup>th</sup> century explicate humor and wit in detail. This includes a separation of both terms. In addition, Freud (ibid.) separates both terms from comic/ the comedy area. Freud also gives guidance on humor and its role in extreme critical situations: Expectation of near death. An equivalent construction was done by Jean Paul. He introduced humanism as a basis of the development of humor. For him, humor is described as “das Umgekehrt Erhabene” [German original]. Humor stimulates a transfer to a higher level of self-reflection (in imagination). From that distant perspective, all small and bigger problems of life can be regarded with calmness and without being overwhelmed by them. Both theoretical statements (Freud, Jean Paul) do not change a fixed situation through activity, but they point to a change in personal attitudes towards them. To make a remark on Freud and Jean Paul, the question arises if both theories intend to confront reality “as it is” or to avoid reality through imagination. Although this question will not be discussed here in detail, the author thinks (especially because the strange role of the Super-Ego in humor) that both theories favorize avoidance of reality and comparison with imagery to experience pleasure and joy instead of frustration.

The critical point of this section was to show, that “how humor is operationalized” influences results and subsequent interpretations of data within humor research. This demands a clear distinction in defining humor. This issue will be discussed now.

#### The problem of a general definition of humor

It is still unknown if these distinctions (see above) about wit, humor and the comic area are represented in the heads of teachers and students. If they are, the question of validity and the scope of application of existent humor research results have to be raised. Here, it is not intended to neglect the power of humor

to lead to a better performance, but to initiate a discussion on the fact that humor research has to reflect on the usage of humor in accordance to its setting. Ruch (1998) states that there is no general definition of humor available. The same opinion can be found in basic textbooks and manuals of psychology (Krech & Crutchfield 1968). There, humor is subsumed under the section “positive evaluated feelings” (ibid., 262). The authors give great emphasize on a distinction of laughing/ laughter as possible signs of humor in contrast to humor itself. For them, there are qualitative differences between these terms. Laughing can manifest because of multiple reasons and humor is only one possible cause. This issue will not be discussed in more detail, but it is important to remark that problem. It leads to the distinction of inner experience (of humor) and outward signs of humor like laughing or smiling. According to Krech and Crutchfield (ibid.), humor can express itself in laughing, but there is no need for that. There are not general and valid signs of the experience of humor. In particular, research depends on (verbal) statements from research objects to ensure if somebody experiences humor or not. There is a huge bandwidth of subjective humor definition approaches. At least, every individual will express something different if he or she talks about humor. However, the task is to work out a practical definition which makes different studies on humor comparable. In spite of these divergences, two main distinctions can be identified according to the literature (Schmidt-Hidding 1963):

- All what is connected to the area of humor/laughing/comic/wit is regarded as a valid sign of humor. This is a very wide definition of humor. It is an approach which can be applied to studies in education. There, no conflict can be found between the usage of humor and its meaning content. This is also a definition that is very near to the personality characteristic “sense of humor” (Ruch 1998, Ruch 1992).
- But there is another, more narrowed definition of humor (Schmidt-Hidding ibid.). Humor is conceptualized as a life style (Jean Paul, Freud, ...) which can be described as gaining detachment from oneself, building up tolerance, self-reflection and activity filled with good will intentions towards others. The goal is to laugh with others and with oneself about failures, deficits and absurdities one comes across in life. Ideas from humanism (17<sup>th</sup>/ 18<sup>th</sup> century) shaped such an understanding and interpretation of humor (Jean Paul ibid., Dopychai ibid., Schmidt-Hidding ibid.). But (e.g. Höffding 1918) refer back to Socrates’ method of communication as first representing modern humor. According to Maslow (1996 ), this kind of humor can be found especially at higher states of maturity (see also Heckhausen on action and on Maslow 1989). It can also be characterized by the distinction between “laughing with” and “laughing at.”

The author sees the real potential of humor to contribute to the development of social skills in line with this understanding of humor. All necessary theoretical assumptions will be talked over in a separated section on “a new framework model to humor” later on.

The role of qualitative methods in humor research can be induced from the difference between these two definition approaches above. The first approach can easily be practiced in terms of “symptoms” like wits, cartoons or written material. There, statistical significance of special items are important issues that support hypotheses about humor and its constituent factors or not. The second definition requires a different approach. There, it is necessary to explore personal views. It is also necessary to gain insight into humor and its processes to understand what is going on, how does people experience situations (from different perspectives), and why and how they make their decisions in life. These questions differ from performance questions and they can not be answered easily by outside symptoms or signs of humor that are discussed above. Furthermore, different sources of data and triangulation are necessary to achieve a level of validity which can satisfy science.

After Groeben (1986b) , self-application is a necessary element of research with subjects and their world views. This means a shift in the role of the researcher. Observable behavior is not only a sign or a symptom of an underlying construct (like humor), but the expression of a whole state of a person. Both parts (inner experience and outside behavior) have to be explored, researched and compared with each other to achieve valid statements of behavior, context and experience. It is impossible to do this without recognizing that as a researcher one depends on the whole person of research objects and not only on their different parts. Only with their active involvement it is possible to reconstruct their behavior, their motives and intentions. As a consequence, alternative methods beyond methodological Behaviorism (Groeben 1986b, Groeben and Scheele 1977) are necessary. Methodological questions and definitions in the field of humor depend on each other and have impact on research designs and data collection. Theories about humor reflect the world views of their authors. They also depend on methodological

strategies and epistemological assumptions. Thus, humor theories have to be reviewed and reflected in short.

## Psychological theories of humor: Dealing with the undefinable

The common usage of methods is mirrored in the contents of influential theories of humor. In general, at the beginning of scientific psychology, metaphysical approaches coming from older philosophical, literal and poetically traditions were banned and explicitly denied in their role as being important for scientific analysis and survey of humor (Lipps 1898, Lazarus 1846, Schopenhauer Vol. 3: 119 or Schmidt-Hidding 1963, 225, and other philosophers). In contrast to contemporary studies, the subjective experience of humor was greatly emphasized and qualitative methodologies dominated the field (Lipps *ibid.*, Lazarus, Freud *ibid.*). At the beginning of the 20<sup>th</sup> century, Freud's (1999) but also Höffding (1918) worked out humor as coming from the Super-Ego as a pacification of the Ego (Freud *ibid.*) or as a "life feeling" (Höffding *ibid.*). Humor, as conceptualized by Freud (*ibid.*), was seen as one of the highest accomplishments of humanity. To experience lust instead of frustration within an unchangeable situations is truly a highly art of living. The following time - with the upcoming Behaviorism, learning theories, and personality psychology accompanied by personality measurement - developed different approaches. A detailed theoretical overview coming from different disciplines were undertaken by e.g. Keith-Spiegel (*ibid.*). The most known theoretical positions are:

- Superiority theory: rooted in Hobbes (1904); presents a pessimistic view on humans. It seems promising approach to integrate superiority theory into social psychology and its findings on group conflicts, intra-group bias, social identity (Tajfel and Turner 1986), self-esteem, attitude change and stereotypes. Mediation, communication and solving conflict have to be considered, too.
- Sense of humor: sexuality (content), incongruity-resolution, nonsense (both structure); conceptualized and proofed in factor-analytical ways (Ruch 1992, Ruch 1998). This approach belongs to personality psychology.
- Bio-physiological approaches: Kataria (1999), others are shortly summarized in Lyttle (2002); humor is healthy and this can be validated on a biological basis.
- Laughing and the nervous system: starting with Spencer (1966), often associated with evolutionary studies or bio-physiological ones; humor supports physical health and the immune system (Lefcourt and Thomas 1998, McGhee 1999). Most physical oriented approaches focus on positive effects of humor.
- Further theoretical fragments thematize topics like surprise, arousal theories (McGhee 1983) and emotion theories, universal signs of humor/ facial expressions (e.g. resources on the internet: Ruch and Ekman 2002).
- Freud (1999).
- Humanism (Jean Paul 1826ff., see also Schmidt-Hidding 1963, Dopychai 1988) and humanistic psychology (see above and below); influenced by literature and poetry, but elaborated by Maslow (1996); it points to the human potential to mature and to grow positively and upwards.

The field of social competence, like social intelligence, can fruitfully be enriched by existent personality approaches to humor. These are mostly represented in the work on "sense of humor" (Ruch, 1992). Many correlations could be found to other established personality characteristics and cognitive styles like Five-Factor-Model of personality (McCrae and Costa 1987) and other correlations to personality measurements or uncertainty/ certainty orientation (Gürtler, unpublished). They give great emphasize and support the hypothesis that humor is a stable and reliable personality characteristic. However, it is still unclear to what extend this personality characteristic can be changed over time. It is also unclear how different personalities interact with each other and in accordance to the situational contexts they come from. Therefore, personality psychology is not able to make concrete assertions about humor activity without integrating subjective experiences and other crucial determinants of behavior, feeling and thinking. But it can give guidance based on personal tendencies.

To make a short summary, psychological and inter-disciplinary theories of humor cover different aspects. Besides interesting findings pointing to physiological and mental health, they fail to give an integrated look on humor. Their methodological limitations inhibit a deeper understanding of humor from an

insight perspective. They are not able to make clear and concrete forecasting, explanation, and alteration of humor in accordance to context, personality, and interaction.

This is not entirely true for psychoanalytic approaches. Psychoanalysis offers a technique of self-exploration which may help to develop humor as a unintended consequence. After Kataria (1999) it can be shown that laughing without a reason has also remarkable effects on the body and on the mental attitude. But unfortunately this is no serious approach within CSS, because mere laughing without integration into the relevant context and without a "sense" may rather contribute to escalation instead of de-escalation.

The task is to develop a framework which is flexible enough to assign each theory a position dependent on its content, applicability, and research results. It is also necessary to design the model in open terms. This ensures the possibility to integrate new findings without the need to restructure the whole framework. In the following section an approach will be presented which tries to do basic work for that goal. It is based on an action approach model (research program of subjective theories) to integrate subjective opinions about humor (and the world and its relationships). Humanistic psychology is used to describe different (positive/ negative) manifestations of humor. As a third element Buddhist meditation of Vipassana is presented as a tool/means to gain insight into one's own mental habits to achieve the prerequisites of a humorous life style.

## **A new framework model approach to humor**

The research program of subjective theories

Although the first definition of humor (see above) covers most aspects that can be linked with humor, it is not clearly explicated. The main topic of solving critical social situations within educational contexts requires a more concrete and much more narrow definition of humor. The investigation of humor and its role on the level of social interactivity demands adequate methods that include subjective views on humor. Teachers as well as students/school children/adolescent students are important sources of knowledge and wisdom about personal as well as group experiences of humor within learning and instruction. These personal constructs of humor (Kelly 1955) can be reconstructed by dialogue-hermeneutic methods provided by the RST (for an introduction into the RST: Groeben & Scheele 1977, Groeben 1986b, on epistemology: Groeben et al. 1988, a discussion of appropriate and tested methods of dialogue-hermeneutic: Scheele & Groeben 1988).

The knowledge about actual representations of humor can enrich objective theories greatly. They can lead - besides in-depth insight into mental processes and their relationship to action and behavior - to a first understanding of how to develop humor in life. Humor in this sense - as a positive life style and the ability to cope with critical situations - becomes utmost important not only in educational life, but also in non-school, private, intimate and vocational settings. The RST provides the necessary methodological knowledge to construct humor as an action applicable in everybody's daily life. Actually, the RST is an action theoretical approach to understand subjective world views, but in addition, it is also designed to validate and ensure that personal views act as action leading agents (Groeben 1986b, two phase concept of the RST). It is necessary to ensure that the type of thoughts, emotions and motives (expressed by people and reconstructed as subjective theories) are real causes of behavior and not only subjective reasons (like illusions, images and irrelevant elements of activity). These subjective theories can be reconstructed in a graphical way. In combination with a transfer into scientific language they are accessible to discussion and scientific exploration. An exploration of people's behavior can be based on these findings. The comparison of both elements integrates and combines "wishful thinking" (how the world functions from a subjective position) and hard facts like observable behavior. According to Groeben (1986b), people act in self-reflected ways if and only if their reasons are also real causes of their behavior (which in contrast to subjective moments can be observed). But if this is true and can be proven, subjective theories are valid theories to determine and lead behavior and therefor describe aspects of life in valid terms. As a consequence, objective theories can be completed with peoples' world assumptions and personal constructs. However, subjects can benefit from objective theories if it can be shown that certain theoretical aspects are not represented in research objects. There, information about relevant issues, prevention or intervention strategies (e.g. in the health sector or in counseling) can follow as practical applications of research results.

Much importance is given on the distinction of action, deeds/doing and behavior (see Groeben 1986b). The reason is, that these three categories differentiate subjective reasons as real causes of behavior (category: action) versus subjective reasons as no real causes of behavior (category: behavior) of observable behavior. Deeds/doing lies between the extremes. There, people are able to reflect about themselves (this is not possible on the level of behavior). But reasons of behavior are not causes and they do not lead to behavior. This distinction comes very near to different stages of insight that can be reached through Buddhist meditation (see below).

#### Humanistic psychology as a framework to evaluate humor activity

Humanistic psychology (Quitmann 1996) was introduced as the third power into classical psychology. It aims to enrich the human potential grow upwards instead of being only concerned with deficits. Rooted in philosophical traditions like Humanism or Existentialism (Jaspers, Heidegger, Sartre, de Beauvoir), it stands for the positive force within humanity. Applications can be found in the fields of business, therapy, counseling or pedagogical psychology (see Quitmann *ibid.*).

Concentrating on humor, the author refers to Jean Paul's (1826ff., see also Dopychai 1988) explications about humor. But references can also be made to Kierkegaard, Bergson and others. Humor is conceptualized as rooted in a positive state of mind. Object and subject of humor are the same. Self-reflection is necessary to include laughing about oneself, about the world and with others together. Although concepts like self-actualization (Maslow 1996) have their problems (e.g. Priest and Wilhelm 1974), technologies (Rogers, Perls) were developed (mostly in therapeutic settings) to stimulate personal development and self-actualization.

To summarize, humanistic psychology acts as a stimulance and guidance to develop a positive humor and to mature in life. Every person is capable to make this development, even if hindrances and obstacles come across. Humor is the ability to cope with life, to look onto life and to laugh happily - without neglecting sometimes awful situations. Self-confidence, love and autonomy play crucial roles. These elements are very near to the principles of Theravada Buddhism which additionally gives not only guidance, but also a clear technique to grow in maturity.

#### Buddhist meditation of Vipassana

Vipassana is the meditation technique that led the historical Buddha to fully enlightenment 2500 B.C. It is a nonsectarian technique. The practice of Vipassana is the continuous observation of bodily sensations with equanimity. To prepare the mind for this task, the Buddha taught concentration on the incoming/outgoing breath "as it comes in, as it goes out" to establish at least a so called "entrance concentration" (Anapana sati, Scholz 1992). Through this practice it is possible to gain very deep insight into personal mental habits, one's own negativity and dysfunctional beliefs that inhibit a direct view on reality. Here, it is regarded as a practical solution to develop at least necessary conditions to have a choice between unreflected behavior and self-reflection and self-controlled action. The author also holds the opinion that humor is the "mastering of the catastrophe" (of existence, inspired by personal communication of a research object). Buddhist meditation is exactly designed to elaborate personal autonomy and mastering of life.

In fact, the historical Buddha had at least all skills to have a good humor (Schumann, 2000, 30, and Greger 2002). Although no valid data can be found to proof the existence of his humor (possible explanations and causes: Schumann *ibid.*, Greger *ibid.*), but he surely was ready wit. No incidents are written down in the ancient writings of early Buddhism (Palí: Tipitaka) that the Buddha ever lost his temper or his mental balance. Critical social situations require exactly such enormous power over mental impurities that according to his state of enlightenment were totally deceased through the practice of Vipassana meditation. Vipassana meditation entered, preserved by monks for the last 2000 years, in the middle of the 20<sup>th</sup> century the public and laymen and spread through Western countries. It is taught in most areas of the world ([www.dhamma.org](http://www.dhamma.org)).

Different applications of Vipassana with resulting benefits were tried. To name a few examples, Vipassana entered prisons and social rehabilitation (documentary movies: "changing from inside", "doing time, doing Vipassana", V.R.I. 1998), drug therapy (V.R.I. 1990, Scholz 1992, Studer 1998), professionals in the healing sector (Vogd 1998, Fleishman 1999), business corporations (resources on the internet: [www.vpee.org](http://www.vpee.org)), and even government (U Ba Khin 1999-2). Further projects, in-depth

evaluations and an research institute solely dedicated to investigate Vipassana and its application in the social sciences and in the public are in preparation.

## **Methodological procedures of the framework model**

The discussion held above shows that there is an urgent relevance of methods that integrate various findings. Humor as a life style has to be researched in multiple ways. The author holds the opinion that the term “triangulation” (Flick 2000) points to a practical, but expensive solution. The underlying idea is that different methods should come out with the same results to proof the validity of results. Then, these results own a higher status because of the usage of divergent methods. The model tries to implement positive as well as negative aspects of humor (humanistic psychology, superiority theory). It is integrated into action (which is separated from behavior). This points to different levels of self-reflection. Through this design neither constructive Cognitivism nor “classical” Cognitivism or mere Behaviorism are neglected or separated, but combined. Each field has its own valuable position.

Bio-physiological and medical approaches representing body and its psycho-somatic association with the mind (in Buddhism, the mind is regarded as a sense organ like the tongue or the eyes) can also be included in the model. Social interactions can benefit from findings of socially shared cognition approaches (Nye 1996, Resnick et al. 1991, Rogoff and Lave 1999) coming from Social Constructivism and the Vygotskian tradition. This would expand the view from the individual towards group thinking, group mind and activity within groups. But the framework remains the same. The two phases of research in the RST (Groeben et al. 1988) are: At first and in advance, investigation of subjects and their personal constructs. The second phase compares actual behavior with reconstructed subjective theories. There, a meta-analytical study about such research designs (of phase II) is in preparation (Dann 2002). Knowledge about contextual determinants, personal history, cognitive preferences (coming from personality psychology like incongruity-resolution, nonsense, uncertainty/ certainty orientation (Huber and Roth 1999, Sorrentino et al. 1984) and results coming from other disciplines should (if combined together) provide data to try to forecast and explain behavior in specific contexts. Vipassana meditation provides a clear technique of self-observation and concentration of the mind. If practiced properly, positive (even if small) changes in the life of the practitioner must come. These can be evaluated within the framework of the RST model. To illustrate this procedure, two studies of phase I, subjective theories of humor, will be presented.

## **Preliminary findings from studies on subjective theories of humor in education**

Two ongoing studies on subjective theories are available with preliminary results. They are designed after the RST model and take place within phase I, the reconstruction of subjective theories. Both focus on humor in teaching situations. The first one deals with interviews with teachers and lecturers. The second one is realized as a group test to explore opinions and experiences of adolescent students (9<sup>th</sup> till 12<sup>th</sup> class) with humor in their school life. According to Groeben (1986b), content collection and reconstruction are divided into two phases (exceptions are known as well, e.g. Groeben et al. 2002). In the session of collecting data for the necessary reconstruction, interviews (with teachers) or open-answer questionnaires (with adolescent students) are methods of choice.

Details to the study with teachers:

Interviews of about 90 minutes in length are audio-taped and led in open ways. Special areas are talked about in no specific order. Emphasize is given on personal view, actual experiences and the uniqueness of each personal history. Between interview and reconstruction session, the interviewer transcribes each interview and extracts all relevant concepts (about 30 to 70 per interview). These concepts are a basic concept pool for the reconstruction. At the beginning of the reconstruction session, each individual checks the concept pool if these concepts fit to personal meaning, logic and sense. Concepts that are regarded as unclear or meaningless are left aside. If important concepts are missing, they are added. The method of choice to reconstruct the theory is a modified version of the Heidelberger Struktur-Legetechnik (shortage: SLT, Scheele and Groeben 1984, Scheele and Groeben 1988) done by Oldenbürger (2002, for an summarized overview). Interviewees work on their own after receiving rules how to

structure. The procedure is such that concepts (nouns) have to be connected with each other with the help of relational concepts (verbs). For this, the interviewee generate the necessary relational concepts. Each concept can be linked with every other concept. The interviewer only gives help on problems regarding rules of structuring. Afterwards, both discuss together the whole subjective theory. Criterium of validity is called "dialog-consensus" (Groeben 1986b, Scheele and Groeben 1988). This means that both agree that the interviewer understands logic and sense of the subjective theory of the interviewee. The interviewer questions all gaps, unclear conceptions and all conceptual relations he or she does not understand. He also intervenes if there are failures in structural thinking, i.e. logic and sense in combining concepts and relational concepts.

#### Details to the study with adolescent students

In general, the procedure is the same as for the teachers and comparable in methodological issues. Differences are can be found in some modes. For students, a group test is given. A questionnaire instead of an open interview to collect data during the first session is used. It has nine topics; and all answers are open.

1. What is humor
2. The boundaries of humor activity and where does humor end
3. Humor in class
4. What happens exactly if humor is experienced in class
5. Who starts humor in class (teacher, pupils)
6. Negative experiences with humor in class
7. Amount of humor in class
8. Personal changes if the structure of class could be changed
9. What would be if there were no more humor at all

These questionnaires will be analyzed to receive prototypical concepts (nouns) and prototypical relational concepts (verbs) fitting to the context of education. This analysis will result in a basic concept pool comparable to the study with teachers. But in contrast to the study with teachers, the possibility to generate different concepts for each person will not be available. All students will receive the same content concepts as well as the same relational concepts. This ensures the possibility of better comparison. On the level of dialogue-consensus, some parts are missing. Because of the amount of research objects, it is not possible to reach a dialogue-consensus with each subject. All students work with the same concepts. The actual usage of the offered concepts is seen as a proof of their adequacy. I.e. then (if a concept is used), it is assumed that students understand the concept and can identify themselves with it. Otherwise they would not use it.

#### Status of both studies (at the moment)

Teachers: N = 10 (planned, N= 7 reconstructed theories done, N = 8 interviews done)  
Adolescent students: N = 363 (questionnaires = 363, content analysis in preparation)

The following figure gives an example of a subjective theory of a teacher around the topic humor. It is printed in the original German, because a translation into another language would - out of methodological reasons - require the active involvement of the research object. This reflects the assumption that every subjective theory is a unique example and can not easily be transferred into another language without reflecting possible changes through the translating process together with research objects.



## Hypotheses

Both results coming from study I and study II will be analyzed (in exploratory manner) for the following questions:

1. Do different types of a humorous life style (in education) exist ?
2. Are there any differences between the following variables:
  - a. sex (female/ male)
  - b. teacher vs. adolescent students
3. Differences between empirical results vs. psychological theories and concepts on humor
4. Hypotheses deducible from the presented framework model:
  - a. Do teachers talk/ mention a kind of spiritual dimension in connection to humor
  - b. According to Maslow, higher states of humor should exist and they differ from lower states in their expression
  - c. Lower states express more hostility and ego, higher states have different resources and probably come "from within"
  - d. If meditation is expressed, it should be connected with detachment, solving tension and helping to come into contact again in CSS
  - e. Meditation would be a method to develop prerequisites of humor, not necessarily humor itself
  - f. According to the RST and higher states of the Maslow pyramid, reflection and self-reflection are crucial parts of humor as a means to solve CSS

The following preliminary results can be presented. They are based on the interviews and the structures coming from study I and phase I of study II. All results are not yet validated against statistical tests or analyzed with qualitative methods in detail. They allow only a first and fragmented look.

1. Female adolescents write a whole lot more than male adolescents (will be tested on significance)
2. The following topics are important for adolescents:
  - a. Laughing is very important (not reasoned)
  - b. Self-reflection plays an important part in humor activity; this topic is sometimes named directly, but can also be obtained through meta-analysis of topics mentioned
  - c. Teachers should laugh more and let enjoy adolescents more of their own humor, i.e. teachers are often seen as restrictive and disallowing humor
  - d. Different opinions were found: if humor starts from teachers or pupils; it seems that this depends strongly on the personality of the teacher
  - e. Many adolescents remark that classes do not need the whole time humor, otherwise studying would be out of control (which would be in line with the findings of Ziv (1988))
  - f. Many adolescents remark "mobbing" and negative forms of humor (coming from other adolescents or from teachers), but they have not necessarily experienced mobbing by themselves
  - g. Many adolescents remark if there would be no more humor at all, life would become depressive and not worth to live anymore
3. The following topics are important for teachers:
  - a. Humor can be positive or negative, both forms a common
  - b. Humor is a personality characteristic, but it also can be developed to some parts (but not directly, more like "know thyself" through self-exploration and insight)
  - c. There are different stages of humor -> associations to spiritual practices like meditation or "deep humor coming from the oneness" are mentioned
  - d. Humor is an integral part of daily life, but not every time available (even if needed)
  - e. Wit, laughing, etc. are important parts and representatives of humor, but not identical, there is something which makes humor unique
  - f. Reflection, distance and detachment are very helpful for humor, sometimes even necessary to experience it
  - g. Negative forms of humor can hurt badly other people; this happens and is common; but it is not recommended

- h. All of them try to implement humor in their classes and training courses, some also remark that they would like to be “more humorous”
- i. All of them were able to name examples of how humor can alter critical social situations towards a positive ending or “what is humor”.

## Discussion

Teachers have different roles. Besides expertise and didactic techniques, they act as models. In developmental psychology, it was found that models and their ways of acting have enormous influence on observers (e.g. Bandura 1986). Influence was found for different parts like aggression or emotions. Social learning theory adds social aspects to classical learning theories: The element of interaction and model/role based learning in social groups. It is assumed (after preliminary findings of the study on subjective theories), that students and pupils are very sensitive to the personality of teachers. They appreciate humor very highly. Humor can not only be a method or a technique which will be applied in courses and teaching. Equally, people are sensitive towards the fact if somebody really is “humorous” or only playing games or acting. It is suggested here that the introduction of humor into learning situations needs what many research objects call a “come from within” humor. Additionally, many students name “mobbing” in line with negative experiences of humor (even if they never were targets of such bad humor). This may point to the fact that humanistic ideals are not yet realized. To experience and to express a humanistic kind of humor may need a transformation of personality. But this can not be separated from the rest of life. A professional attitude reflects often attitudes that are more private in their nature.

At the beginning of practicing Vipassana, an introductory course lasting continuous for ten days is necessary to learn that technique. Afterwards, two hours sitting a day are required to maintain the benefits of a course. Once a year, another ten day course is needed to explore more and more the depth of the mind and to get established in the technique. These are requirements not everybody is willing or able to fulfill. Humans differ according to their personality, other techniques should be discovered, designed or adopted to the needs of teaching contexts. Relevant issues they should cover are: Developing an understanding of one’s own mental habits, the skills to be in emotional balance even if others are upset, positive attitude towards others, tolerance, acceptance of oneself, and understanding the incongruities of the world. Maybe at this point counseling, therapy and supervision in education meet each other.

According to Huber (in Brunner 1990), counseling can be discussed in terms learning and teaching. To look closer on Vipassana meditation, it is an ongoing self-observation of mental modelling but also a technique that can be taught and learned. Thus, humor can connect different parts of psychology: (self-)therapy and education. At last, the methodological implications clearly point towards an integration of qualitative and quantitative methods. If this is kept in mind, obvious differences and disputes between various kinds of methodological schools should be banned. It has to be considered that each method has its strengths and weaknesses. The task is to combine and integrate appropriate methods with adequate situations and - of course - research subjects and research questions.

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