Today

- Health beliefs, health behaviors, and behavior change
 - Addressing the main goals of interventions
 - Social Ecological Framework
 - Health beliefs
- Theoretical foundation of interventions
 - Why do we need theory to guide interventions?
 - What are the most commonly used theories of health behavior?
 - When in the process of intervention planning do we use theory?
- Evaluating the impact of interventions
 - RE-AIM
- Addictive behaviors
- Eating behavior, exercise behavior
- MHBC, motivational interviewing

Goals of Behavioral Interventions

Demonstrate that interventions can cause positive outcomes

Identify factors that cause treatment effects (i.e., moderators of change) Identify and understand processes through which change occurs (i.e., mediators or mechanisms of change)

How do we go about promoting healthy behaviors?

Schematic representation of the *ecological framework* for understanding different influences on personal health behaviors



(1) Behavioral and social approaches

- Individually-adapted health behavior changed programs
- Social support interventions in community settings
- Family-based social support
- School-based enhanced health education and practice
- (2) Campaign and informational approaches
 - Community-wide campaigns
 - Mass media campaigns
 - Classroom-based health education focused on providing information
- (3) Environmental and policy approaches

Focus on Theory-Based Interventions



WHY DO WE NEED THEORY?

Atheoretical Approaches: Motives and Barriers

- Descriptive
- Typically large-scale surveys of attitudinal and motivational factors
- Useful for providing baseline data, plotting trends, or generating ideas and research directions
- Do NOT explain <u>why</u> individuals hold these beliefs

Clarification....

- Theory
 - A generalized statement aimed at explaining a phenomenon/behavior
 - The basis for creating a model
- Model
 - Purposeful representation (symbolic, verbal, visual) of reality or a concept
 - Models can serve as the structure for the step-by-step formulation of a theory
- Framework
 - Way of organizing information about the field (e.g., the health onion)
 - Similar to paradigms but looser

Some useful definitions...

Correlate versus Determinant

- Correlate = factor associated with behavior (e.g., age)
- Determinant = factor <u>causally</u> associated with behavior
 - strength of association (replicated across studies)
 - temporal sequence (precedes outcome)
 - dose-response

conceptually plausible (i.e., must make sense)
 Example: ...?

Some useful definitions...

- *Mediator* intervening causal variable
 - on the causal pathway between intervention and intervention effect/outcome
 - explains the mechanism through which the program exerts its effect
 - Example: ?
- Moderator effect modifier
 - a "third" variable that modifies the effect of intervention
 - Example: gender-specific effects, ...?
- Confounder factor that predicts outcome but is also associated with exposure (intervention)
 - Example: age, ...?

Clarification

- Theories of health behavior
 - Linear
 - Derived from observational studies
 - Mainly explain status, do not predict change in behavior well

VS

- Theories of health behavior change
 - Cyclical, dynamic
 - Must be tested in experimental context
 - Help understand process, goal is to predict change in behavior

Health Behavior Theory

- Only 22.5% of interventions explicitly based on health behavior theory (Davis et al., 2010)
- Most commonly used theories emphasize individual or interpersonal factors; physical and social context often ignored
- Davis at al. (2015)
 - Identified 82 theories of behavior with potential for use in health behavior change
 - 4 theories accounted for 174 (63%) of articles
 - Transtheoretical Model of Change (TTM; N = 91; 33%)
 - Theory of Planned Behaviour (TPB; N = 36; 13%)
 - Social Cognitive Theory (SCT; N = 29; 11%)
 - Information-Motivation-Behavioural-Skills Model (IMB; N = 18; 7%)

	Theory	First author theorist (date)	Number of articles reporting theory that were included in the review		_
1	An Action Model of Consumption	Bagozzi (2000)	1ª	_	Theory
2	Affective Events Theory	Weiss (1996)	1 ^a	36	Integrative Theory of Health Behaviour Change
3	AIDS Risk Reduction Model	Catania (1990)	5ª	37	Model of Pro-environmental Behaviour
4	Attitude-Social Influence - Efficacy Model and	DeVries (1998)	2	20	Motivation Opportunity Abilities Model
	its successor I - Change			20	Needs Opportunity Abilities (NOA) Medel
5	Behavioural Ecological Model of AIDS Prevention	Hovell (1994)	1ª	40	Norm Activation Theory
6	Change Theory	Lewin (1943)	0	41	Operant Learning Theory
7	Classical Conditioning	Pavlov (1927)	0	42	Precaution Adoption Process Model
8	COMB Model	Michie (2011)	0	43	Pressure System Model
9	Consumption of Social Practices	Spaargaren (2000)	0	44	PRIME Theory
10	Containment Theory	Reckless (1961)	0	45	Problem Behaviour Theory
11	Control Theory	Carver (1981/1982)	1	46	Prospect Theory
12	Diffusion of Innovations	Rogers (1983)	4	47	Protection Motivation Theory
13	Differential Association Theory	Sutherland (1947)	0	48	Prototype Willingness Model
14	Ecological Model of Diabetes Prevention	Burnet (2002)	1"	40	Rational Addiction Model
15	Extended Information Processing Model	Flay (1980)	1-	50	Reflective Impulsive Model/Dual Process Theory
10	Extended Parallel Process Model	Witte (1992)	2	51	Remetave impulsive would buar frocess friedry
1/	General Theory of Crime	Kluger (1996)	1	50	Regulatory Fit Theory Release Prevention Theory
10	General Theory of Deviant Behaviour	Konlan (1990)	1	52	Relapse Prevention Theory Disks as Fashings Model
20	Goal Directed Theory	Rapian (1972) Bagozzi (1992)	24	22	Risks as reeings Model
21	Goal Framing Theory	Lindenberg (2007)	ĩ	54	Self-determination Theory
22	Goal Setting Theory	Locke (1968)	i	55	Self-efficacy Theory
23	Health Action Process Approach	Schwarzer (1992)	8	56	Self-regulation Theory
24	Health Behaviour Goal Model	Gerbhardt (2001)	1 ^a	57	Six Staged Model of Communication Effects
25	Health Behaviour Internalisation Model	Bellg (2003)	1 ⁿ	58	Social Action Theory
26	Health Belief Model	Rosenstock (1966)	9	59	Social Action Theory
27	Health Promotion Model	Pender (1982)	1	60	Social Change Theory
28	Information-Motivation-Behavioural (IMB)	Fisher (1992)	18 (17) ^b	61	Social Cognitive Theory
	Skills Model			62	Social Consensus Model of Health Education
29	IMB Model of ART Adherence (extension	Fisher (2008)	1ª	63	Social Development Model
	of IMB)			64	Social Identity Theory
30	Integrative factors influencing smoking	Flay (1983)	1"	65	Social Influence Model of Virtual Community
	behaviour model	T1 (1000)			Participation
31	Integrative model of health and attitude	Flay (1983)	1-	66	Social Ecological Model of Walking
32	Integrating the factors influencing smoking	Flow (1082)	14	67	Social Ecological Model of Behaviour Change
34	hebayiour and the model of attitude and	riay (1965)	1	68	Social Learning Theory
	behaviour change			60	Social Norms Theory
33	Integrative Model of Behavioural Prediction	Fishbein (2000)	2ª	20	Surtants Model of Health Bahaviour Change
34	Integrated Theory of Drinking and Behaviour	Wagennar (1994)	1	70	Technology Acceptonae Models 1, 2 and 3
35	Integrated Theoretical Model for Alcohol and	Gonzalez (1989)	14	/1	recinology Acceptance Models 1, 2 and 5
	Drug Prevention	(1)0))		72	Temporal Self-regulation Theory
77	Theory of Normative Social Behaviour	Rimal (2005)	1°	73	Terror Management Health Model
78	Theory of Planned Behaviour/Reasoned Action	Ajzen (1985)	36 (34) ¹	274	Terror Management Theory
79	Theory of Triadic Influence	Flay (1994)	0	75	Theory of Normative Conduct
80	Transcontextual Model of Motivation	Hagger (2003)	0	76	Theory of Interpersonal Behaviour
81	Transtheoretical/Stages of Change Model	Prochaska (1983)) 91 (87) ^t		
82	Value Belief Norm Theory	Stern (1999)	1		

Number of articles reporting theory that were included

in the review

 1^{a}

0

0

0

0

0

1 1ª

0

3

2

1ⁿ

3ª

 1^{a}

2

 1^{n}

0 9 (8)^b

2ⁿ

1

 1^{a}

 1^{n}

0

0 29 (27)^b

 1^{n}

3ª

0 1ⁿ

 1^{a}

 1^{n}

6

0

1ⁿ

 1^{n}

 1^{a}

0

1 2

0

First author theorist (date)

Ryan (2009)

Kolmuss (2002)

Olander (1995)

Schwartz (1977)

Weinstein (1988)

Kahneman (1979)

Skinner (1954)

Katz (2001) West (2006)

Jessor (1977)

Rogers (1975)

Becker (1988)

Higgins (2000)

Marlatt (1980) Lowenstein (2001)

Bandura (1977) Kanfer (1970)

Vaughan (2000)

Thompson (1990)

Bandura (1986) Romer (1992)

Hawkins (1985) Tajfel (1979)

Dholakia (2004)

Alfonzo (2005)

Miller (1941)

Perkins (1986)

Kershell (1985)

Hall (2007) Goldenberg (2008)

Venkatesh (1989, 2000, 2008)

Greenberg (1986)

Cialdini (1991) Triandis (1977)

Panter-Brick (2006)

Ewart (1991) Weber (1991)

Deci (2000)

Strack (2004)

Gibbons (1995)

Gatersleben (1998)

Health Belief Model

(Becker & Maiman, 1975)

The likelihood of behavior depends on the person's perception of the severity of health risks and appraisal of the costs and benefits of taking action.

Health Belief Model (HBM)



Limitations of Health Belief Model

- Illness-avoidance orientation
- Limited use in some behaviors (e.g., PA/exercise) individuals often engage in behaviros for reasons other than prevention of chronic disease
- May be more useful for explaining avoidance of negative behaviors rather than engagement in positive health behaviors

Discussion

• Grandahl et al. (2016)

Self-Determination Theory (SDT)



SDT - Motivation

- Intrinsic
 - for the enjoyment of the activity itself
- Integrated regulation
 - congruent with the person's own values and needs
- Identified regulation
 - you identify with it (i.e., self-initiated and of some personal relevance or value)
- Introjected regulation
 - wanting to avoid punishment or guilt
- External regulation
 - for some external reward or due to pressure to do so (e.g., from significant others)
- Amotivation

Theory of Planned Behavior (Ajzen, 1988)

Exercise behavior can be explained by

- intentions
- subjective norms and attitudes
- perceptions of ability to control behavior

Theory of Planned Behavior (TPB)

Developed from Theory of Reasoned Action



Limitations of TPB

- The model is unidirectional
- Does not account for past behavior
- Focus on social psychological perceptions
- Typically explains more variance in intentions than in behavior



Elements of Social Cognitive Theory

- Goals
- Impediments or barriers
- Outcome expectancies versus self-efficacy
 - Outcome expectancies
 - Judgments of the likely consequence/outcomes of one's actions
 - Self-efficacy
 - people's judgments of their capabilities to organize and execute courses of action required to attain desired outcomes

Self-Efficacy Theory

Sources

- Mastery experience (past performance)
- Social experiences (modeling)
- Verbal persuasion
- Physiological and emotional arousal

SELF-EFFICACY

Individual's beliefs in his/her capabilities to successfully carry out a course of action (situational specific selfconfidence)



- Behavioral choice
- Degree of effort
- Persistence in face of adversity

Transtheoretical Model of Behavior Change (TTM) (Prohaska & DiClemente, 1983)

- Exercise behavior can be explained by
- Stages of change
- Processes of change (experiential versus behavioral)
- Decisional balance
- Self-efficacy (added later by Prohaska et al., 1994)



Adopted from J. Adams & M. White: Br. J. Sports Med. 2003;37;106-114.

Defining Stages of Change

Stage	<i>Meeting</i> <i>criterion</i> <i>level of PA</i>	Current behavior	Intention to meet criterion level of PA
Precontemplation	No	Little or no PA	No
Contemplation	No	Little of no PA	Yes
Preparation	No	Small changes in PA	Yes
Action	Yes	Active for < 6 months	Yes
Maintenance	Yes	Active for \geq 6 months	Yes

TTM Assumptions

Key

During exercise, behavior induction strategies are used during the different transtheoretical stages. (Prochaska, DiClemente, & Norcross, 1992)

Matching the intervention to the stage of change is effective in producing high levels of regular exercise, at least in the short term.

Health Action Process Approach (HAPA)

(Schwarzer, 2003)



http://userpage.fu-berlin.de/health/hapa.htm



What does this "two-phase" model mean from an intervention perspective?

Bottom Line

When deciding on the best approach to encourage *INDIVIDUAL* behavior change, maximize exercise adherence and long-term maintenance of physical activity one must take into account

.....one's motivation to change

.....one's abilities (actual and perceived)

one's resources and opportunities to change



Behavior Change Wheel (Michie et al., 2011)



WHICH THEORY IS BEST?

Some Caveats...

- It is unlikely that a single theory will universally explain physical activity behavior
- Context-specific and population-specific considerations
 - Do we need gender-specific theories?
- Existing theories should be scrutinized and revised based on available evidence
 - This is a very slow process
- Efforts for transtheoretical paradigms
 - Theoretical Domains Framework (Cane et al., 2012, Michie et al., 2005)

Common Mistakes When Using Theory

- Focusing program too narrowly for expected outcomes
- Selecting too few constructs (or only at one level of influence)

 a program should be based on important influences on behavior
- Focusing too broadly in relation to the resources available
- Failure to consider the particular situation and target group
- Using constructs from theories without considering implications (should aim for multiple levels if influence)
- Overreliance on familiar methods and strategies
- Overreliance on a favorite theory
- Dismissing theory and relying on experience or intuition

How to Select a Theory

- The social or health problem at hand (what are the needs?)
- The behavior(s) to be targeted
 - Health behavior theory as blueprint identifying salient antecedents of behavior
- The target population and their needs
- Context in which the intervention will take place

PLANNING MODELS CAN PROVIDE GUIDEANCE IN A SYSTEMATIC WAY STARTING WITH NEEDS ASSESSMENT

Schematic representation of the *ecological framework* for understanding different influences on health behavior



A Shift from a Clinical to a Public Health Approach

Clinical/Medical Approach

- stresses convenience & efficiency of the provider
- "waiting" approach individuals must look for programs that meet their needs
- serve mostly active and healthy (or patient populations)
- takes place in structured settings

Community-based Approach

- multi-level public health orientation
- "seeking" approach active approach to collecting and disseminating information to allow for tailoring to individual needs
- target all segments of population, especially those who would particularly benefit (i.e., those at risk)
- takes place in "real-life" environment
- Seeks to instill changes in social networks and structures, organizational norms, policies

Applying the RE-AIM Framework to Health Behavior Interventions

- RE-AIM originally developed to evaluate the public health impact of health promotion efforts and potential for dissemination and sustainability
- Today interventionists use this framework in the planning phases of interventions to maximize their public health impact and long-term effectiveness

Applying the RE-AIM Framework to Physical Activity Interventions

Central questions

- How well does research translate into practice?
- What is ...Robustness
- What is ...Translatability
- What is ...Public health impact
 - Individual level
 - Institutional (or Setting) level

RE-AIM



RE-AIM as a planning model: Designing for dissemination

Determine if acceptable program/policy will:

- <u>Reach</u> large numbers of people, especially those who can benefit most
- Be widely <u>adopted</u> by different settings using available "channels" of delivery
- Be consistently <u>implemented</u> by settings and staff members reflective of local community
- Produce relevant, <u>replicable</u>, <u>long-lasting</u> effects (with minimal negative impacts) at reasonable cost

RE-AIM – cont.

- R Increase <u>Reach</u>
- E Increase <u>Effectiveness</u>
- A Increase A
- <u>A</u>doption
- I Increase <u>Implementation</u>
- M Increase <u>Maintenance</u>

Glasgow, Klesges, Dzewaltowski, et al., Ann Behav Med, 2004

RE-AIM Dimensions

	Dimension	Definitions			
Individual Level	REACH	 Participation rate among potential target group(s) Representativeness of participants in terms of social, demographic, and health characteristics 			
	<u>E</u> FFICACY/ EFFECTIVENESS	 Effects of intervention on primary outcome of interest Impact on quality of life and negative outcomes Robust outcomes (similar effects among targeted groups) 			

Clarification of Terms

Efficacy

Does the treatment/intervention cause an effect? Does the treatment/intervention work under ideal circumstances?

Effectiveness

Does the treatment/intervention work under real-life circumstances?

RE-AIM Dimensions (cont.)

	Dimension	Definitions			
both Institutional Level	ADOPTION	 Participation rate among possible settings and contexts Representativeness of participating settings, intervention staff 			
	<u>IMPLEMENTATION</u>	 Extent intervention was delivered as intended in protocol Time & cost of intervention 			
	<u>M</u> AINTENANCE	 Longer-term effects <a> 6 months (Individual) Impact of attrition on outcomes 			
		(Individual)3. Sustained delivery or modifications			
		or intervention (Setting)			

Some Challenges...

Reach

- Not studying a relevant, high-risk, or representative sample
- Remedy?

Efficacy or Effectiveness

- Not thoroughly understanding outcomes or how they come about, e.g., no knowledge of mediators, conflicting or ambiguous results, or inadequate control conditions to rule out alternative hypotheses
- Remedy?

Some Challenges – cont.

Adoption

- Program not ever adopted or endorsed or only used in academic settings
- Remedy?

Implementation

- Protocols not delivered as intended (type III error)
- Remedy?

Maintenance

- Program or effects not maintained over time
- Remedy?

RE-AIM Resources

If we want more evidence-based practice,

we need more practice-based evidence.

L. W. Green, 2004

More information on RE-AIM at www.re-aim.org

Multiple Behavior Change Research

•Efforts to promote two or more health behaviors

•The interrelationships among health behaviors and interventions designed to promote change in more than <u>one health behavior</u> at a time

•Presents a unique set of challenges

theoretical, methodologic, intervention, statistical, and funding issues

Rationale for MHBC Research

Approximately half of all causes of mortality in the United States are linked to social and behavioral factors such as smoking, diet, alcohol use, sedentary life-style, and accidents. Yet less than 5% of the approximately \$1 trillion spent annually on health care in the United States is devoted to reducing risks posed by these preventable conditions. Behavioral and social interventions therefore offer great promise to reduce disease morbidity and mortality, but as yet their potential to improve the public's health has been relatively poorly tapped.

— Institute of Medicine

Rationale for MHBC Research

- The major causes of morbidity and premature mortality in the US (heart disease, cancer, and stroke) influenced by multiple health risk behaviors (including smoking, alcohol abuse, physical inactivity, and poor diet)
- In the US, only 3% of adults meet all four health behavior goals of being a nonsmoker, having a healthy weight, being physically active, and eating 5 or more fruits and vegetables a day (Reeves & Rafferty, 2005)

Rationale for MHBC Research – cont.

Clustering of unhealthy behaviors

- In the US, the majority of adults meet criteria for two or more risk behaviors (Fine et al., 2004; Pronk et al., 2004)
- •92% of smokers exhibit at least one additional risk behavior (Fine et al., 2004; Klesges et al., 1990; Pronk et al., 2004)
- •9 out of 10 overweight women at least two eating or activity risk behaviors (Sanchez et al., 2008)

Rationale for MHBC Research – cont.

 Success in changing one or more lifestyle behaviors may increase self-efficacy to improve risk behaviors individuals have low motivation to change

- PA as a gateway behavior to overall health full lifestyle?
- •Limited contact opportunities for health promotion should aim for interventions that could simultaneously improve multiple risk behaviors

 Interventions targeted at single risk behaviors, even if effective, will be limited in their impact

Methodological Issues in MHBC

Design issues

- How many behaviors to target at once?
- Specific combinations of specific behaviors? Are some more compatible than others?
- Differential motivation to change different behaviors
- Implications for timing? Introduce behaviors at the same time or sequentially?

Hyman et al. (2007)

- Is sequential presentation of stage of change-based counseling to stop smoking, reduce dietary sodium level, and increase physical activity by at least 10 000 pedometer steps per week more effective than simultaneous counseling?
- African Americans (N=289) with hypertension, aged 45 to 64 years, initially non-adherent to the 3 behavioral goals, were randomized:
 - 1 in-clinic counseling session on all 3 behaviors every 6 months, supplemented by motivational interviewing by telephone for 18 months;
 - (2) a similar protocol that addressed a new behavior every 6 months;
 - (3) 1-time referral to existing group classes ("usual care").

The primary end point was the proportion in each arm that met at least 2 behavioral criteria after 18 months.

Hyman et al. (2007) - results

•At 18 months, only 6.5% in the simultaneous arm, 5.2% in the sequential arm, and 6.5% in the usual-care arm met the primary end point

•Results for single behavioral goals consistently favored the simultaneous group

- At 6 months, 29.6% in the simultaneous, 16.5% in the sequential, and 13.4% in the usual-care arms had reached the urine sodium goal
- At 18 months, 20.3% in the simultaneous,16.9% in the sequential, and 10.1% in the usual care arms were urine cotinine negative

King et al. 2013

- Four intervention groups: a sequential exercise-first group, a sequential diet-first group, a simultaneous group, and a control group
- 12 months interventions; 4 months in between sequential behaviors
- Telephone-based counseling (SCT, TTM); control received stress management advice

Methodological Issues in MHBC

Measurement issues

• Separate or composite measures?

Data analysis

Theory testing across behaviors

•Participant burden

Behavior Change from the Perspective of Motivational Interviewing

Motivational interviewing is a directive, client-centered counseling style for eliciting behavior change by helping clients to explore and resolve ambivalence.

Source: http://www.motivationalinterview.org/

Miller WR, et al. Motivational Interviewing, 2nd ed. Guilford Press; 2002.

Berger B. Motivational interviewing helps patients confront change. Available at:http://www.uspharmacist.com/oldformat.asp?url=newlook/files/Phar/nov99relationships.cfm &pub_id=8&article_id=450.

The Spirit of Motivational Interviewing

•Collaborate with the patient

Evoke their readiness to take action (elicit "change talk")
Develop patient's autonomy to take responsibility for their own health

Behavior change can be facilitated but not coerced.

Strategies for Successful Interaction with Patients

- Elicit-Provide-Elicit
 - Menu of Strategies
- The Five Principles
 - READS
- Helpful Tools
 - Readiness Rulers
 - The Envelope

Rollnick S, et al. *Health Behavior Change: A Guide For Practitioners*. Churchill Livingstone; 2003. Berger B. Motivational interviewing helps patients confront change. Available at: http://www.uspharmacist.com/oldformat.asp?url=newlook/files/Phar/nov99relationships.cfm&pub _id=8&article_id=450

Strategies for Successful Interaction with Patients

ELICIT-PROVIDE-ELICIT

- The good things and bad things
- What do they like and dislike about the proposed changes?
- What is their representation of the illness and its treatment?
- Do they agree with the NP/MD?
- Do they believe they can do what is asked? What will help?
- What are the barriers?
- IS THE PATIENT READY FOR THE CHANGE?

Five Principles of MI

- Express empathy
 Develop discrepancy
 Avoid argumentation
 Roll with resistance
- Support self-efficacy

Building Motivation

- Explore ambivalence and build motivation
- (1) Open-ended questions
- (2) Reflective listening
- (3) Affirmations
- (4) Summaries
- (5) Elicit self-motivational statements (change talk)



Readiness to Change: Eliciting Change Talk

Readiness Ruler

On the line below, mark where you are now on this line that measures your change in

Are you not prepared to change, already changing, or somewhere in the middle?



"If I handed you an envelope, what would the message inside have to say to get you to _____?"

Building Motivation

- Goal is to get patient/client to articulate:
 - The steps I plan to take are:
 - Challenges that may interfere:
 - How I will handle these challenge
 - I' II know my plan is working if:

MHBC Challenges

•Timing of treatment

Measuring changes in multiple behaviors

Theory testing across behaviors

Participant burden