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Title: Exercise prescription for patients with non-specific chronic low back pain: a qualitative exploration of decision making in physiotherapy practice

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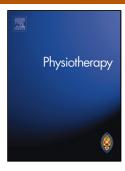
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1 2 3	TITLE PAGE
4	
5	Title
6	Exercise prescription for patients with non-specific chronic low back pain: a
7	qualitative exploration of decision making in physiotherapy practice.
8	
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30	Title: Exercise prescription for patients with non-specific chronic low back pain: A
31	qualitative exploration of decision making in physiotherapy practice
32	Abstract
33	
34	Title: Exercise prescription for patients with non-specific chronic low back
35	pain: a qualitative exploration of decision making in physiotherapy practice.
36	
37	Background: Providing an effective exercise prescription process for patients with
38	non-specific chronic low back pain (NSCLBP) is a challenging task. Emerging
39	research has indicated that partnership in care and shared decision making are
40	important for people with NSCLBP and calls for further investigation into the
41	approaches used to prescribe exercise.
42	
43	Objective: To explore how shared decision making and patient partnership are
44	addressed by physiotherapists in the process of exercise prescription for patients
45	with NSCLBP.
46	
47	Design: A qualitative study using a philosophical hermeneutic approach.
48	
49	Methods: Eight physiotherapists were each observed on three occasions
50	undertaking their usual clinical activities (total n=24 observations). They conducted
51	brief interviews after each observation and a later in depth semi-structured interview.
52	Iterative hermeneutic strategies were used to interpret the texts and identify the
53	characteristics and processes of exercise prescription for patients with NSCLBP.
54	

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55	Findings: The findings revealed how physiotherapy practice often resulted in
56	unequal possibilities for patient participation which were in turn linked to the
57	physiotherapists' assumptions about the patients, clinical orientation, cognitive and
58	decision making processes. Three linked themes emerged: (1) I want them to
59	exercise, (2) Which exercise? - the tension between evidence and everyday practice
60	and (3) Compliance-orientated more than concordance based.
61	
62	Conclusions: This research, by focusing on a patient-centred approach, makes an
63	important contribution to the body of evidence relating to the management of
64	NSCLBP. It challenges physiotherapists to critically appraise their approaches to the
65	prescription of exercise therapy in order to improve outcomes for these patients.
66	
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69 70 71 72 73 74 75 76 77	Key Words:  Exercise Back pain Decision making Patient-centred care
78	

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78 79	Introduction:
80	
81	Within healthcare, there is a growing interest in enhancing patient participation in
82	decisions regarding their care [1]. Shared decision making focuses on patients and
83	clinicians clarifying treatment options and agreeing a preferred management
84	approach. Patients are viewed as experts on their own health, values and lifestyle
85	and clinicians as experts about treatment options, potential limitations and benefits
86	[2]. The potential benefits of shared decision making are most significant in situations
87	of uncertainty, such as the optimal type of exercise for non-specific chronic low back
88	pain (NSCLBP) [3, 4] or where two or more clinically reasonable alternatives or
89	'equipoise' exists [5].
90	
91	NSCLBP is a common condition managed by physiotherapists, where exercise is
92	consistently recommended in treatment guidelines [6]. 'Exercise prescription' is a
93	term that is often used in the literature [7] and, in physiotherapy practice, exercise
94	programmes can vary in content and method of delivery [8]. For the purposes of this
95	study exercise prescription was defined as:
96	
97	"A specific plan of fitness or health-related activities that is designed for a specified
98	purpose, which is often developed by a fitness or healthcare specialist for and in
99	collaboration with the patient." [9 p.1]
100	
101	There have been calls for further research into exercise prescription, taking into
102	account issues such as decision making [3, 10] to strategically direct and maximise
103	the evidence base for musculoskeletal physiotherapy [11].

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This report is part of a larger programme of research which explored the process of exercise prescription, taking into account issues such as decision making and how this accords with patient preferences and experiences. Physiotherapists' and patients' perspectives have been reported separately to allow full exploration of the data in relation to the relevant literature. This first report focuses on the physiotherapists' perspectives.

#### Method:

This study was guided by the philosophical hermeneutic approach of Gadamer, a branch of interpretive phenomenology which seeks to understand participants' experiences through the interpretation of text [12]. In this study text was in the form of observation field notes and transcribed interviews (informal field and semi-structured). Philosophical hermeneutics does not provide a method for interpretation, but offers a number of key constructs such as the 'hermeneutic circle', 'fusion of horizons' and pre-understandings or 'prejudices' of the phenomenon of interest [13]. Gadamer declared that researchers cannot free themselves of what they know or think and prejudices are seen as a valuable guide to inquiry as understanding only emerges because the researcher has brought some assumptions to the text [14].

Identification of their pre-understandings of the topic enhances transparency and also helps researchers to examine their prejudices and the degree to which these influence subsequent interpretation. In this study the first author, an experienced spinal physiotherapist, was able to challenge his own experience and prejudices about the dominant role of physiotherapists in structuring interactions and making

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129	decisions. A reflective journal was kept throughout the research to track emerging
130	interpretations and ensure 'hermeneutic alertness', where the researcher steps back
131	to reflect on the meanings of situations rather than accepting their pre-
132	understandings and interpretations at face value [15].
133	
134	Sample and data collection:
135	Potential participant physiotherapists were approached initially by e-mail contact by
136	the researcher. A stratified purposive sampling approach based on location, clinical
137	seniority and time since qualification recruited eight physiotherapists over an eight
138	month period working in one musculoskeletal physiotherapy service delivered across
139	seven departments in South West England. Physiotherapists encompassed a range
140	of clinical experience (2-19 years) and all were regularly engaged in the
141	management of patients with NSCLBP. All physiotherapists approached agreed to
142	participate and gave informed written consent.
143	
144	Each physiotherapist was observed assessing and treating three new patients on
145	separate occasions, with an informal field interview immediately following each
146	observation and a final in-depth semi-structured interview after the observation
147	period (Fig. 1).
148	
149	Insert Figure 1 – here
150	
151	All observations and interviews were conducted by the first author. By using both
152	observations and interviews the aim was to gather information as close to the clinical
153	experience as possible. Observations provided prompts for the later interviews to

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explore in depth how the physiotherapists gave meaning to and interpreted their clinical practice.

Patients who had been referred with a stated diagnosis of LBP were given an appointment with a physiotherapist and were approached by the researcher prior to commencement of the assessment. NSCLBP for the purposes of this study was defined as pain persisting for six weeks or more. Six weeks was chosen as it has been considered by some to be beyond the period of spontaneous recovery for most LBP [16]. Patients were given a participant information sheet and offered the opportunity to ask any questions prior to seeking their written consent to observe their initial assessment and treatment. No patients refused to participate. Each observation lasted between 40 and 60 minutes, and was treated as a unique event with no predetermined categories or notions as to what might be observed to allow for a more open minded and context sensitive approach.

Semi-structured interviews were undertaken with each physiotherapist within two weeks of completing the observations. A series of broad topic headings was developed for the interview guide, fostering flexibility in exploring physiotherapists' clinical practice, decision making processes and experiences. The topic guide was continually adapted on the basis of findings from the observations and informal field interviews (please see the final version in the supplemental information).

All interviews were digitally recorded and transcribed verbatim by the first author to maximise familiarity with the data. Each participant's text set was anonymised. From

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178	this intensive engagement, hermeneutic texts were constructed which consisted of
179	24 observation field notes, 24 informal interviews and 8 semi-structured interviews.
180	
181	Data analysis:
182	Interpretation of the texts was undertaken by the first author (RS) based on a
183	thematic analysis [17] guided by the principles of Gadamerian hermeneutics [12, 13]
184	(Table 1).
185	
186	Insert Table 1 – here
187	
188	No independent analysis of the data was undertaken based on the basic tenets of
189	philosophical hermeneutics whereby a dialogue takes place between the researcher
190	and text. Therefore different researchers bring to the analysis their own pre-
191	understandings with respect to past experiences, and so consensus is not expected
192	or required using this approach. The prior clinical experience of the first author (RS)
193	is likely to influence the interpretive perspectives and ways of constructing meaning,
194	but Gadamer considered this necessary for full understanding [12]. However, to
195	ensure dependability, a second author (TM) facilitated refinement of the thematic
196	analysis through peer review and auditing [18]. Participant quotes beginning with an
197	O are taken from the observations or informal field interviews, all other quotes are
198	taken from the semi-structured interviews.
199	
200	
201	Findings:

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Three main themes directly relevant to how decisions are reached in the process of
exercise prescription were formed from the texts (Table 2). The findings provide a
complex understanding of how physiotherapists regard and apply exercise based
management strategies to patients with NSCLBP, often resulting in unequal
possibilities for patient participation.

Insert Table 2 – here

### Theme 1: I want them to exercise

This theme considers the way physiotherapists reached treatment or management decisions. The majority of physiotherapists used a process of decision making that was based on either their personal preference for, or experience of, different interventions rather than arrived at by mutual agreement. The following emerged as sub themes.

Defining the options available: an important context for shared decision making involves the clinician providing information to the patient on the management options in an unbiased way [5]. In this study there was little evidence of the patients being offered a choice of different management options, as exercise was regarded as the 'default' treatment approach:

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224	"I have to say I don't particularly ask the patient what they want. I think giving
225	them so much choice, they can often get confused, it is almost too much for
226	them." (T5.40)
227	
228	"I must admit for every low back pain I have coming in through my door I
229	pretty much will always give them exercise. So I must admit I don't think about
230	it too hard, it would be the first thing I would choose to do rather than do
231	something else first." (T1.31-33)
232	
233	I try and get people to think about it from my point of view: Physiotherapists listened
234	attentively to the patients' stories which often included information and cues about
235	their experiences with exercise interventions as part of treatment previously
236	received. However this was rarely reflected in the decision making which was
237	ostensibly driven by clinician's preference rather than those of patients:
238	
239	"I try and get people to think about, from my point of view I want them to
240	exercise so that they actually get used to getting their spine moving again."
241	(T1.18)
242	
243	This was revealed in the observation of one patient who talked about regularly
244	consulting and benefiting from treatment by a manual therapist. The patient's
245	response to the physiotherapist's suggestion that exercise would be one of the best
246	ways to manage the problem was:
247	
248	

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249	"I've tried exercise religiously in the past, it made no difference, it was
250	ridiculous." (OT1 (17).14)
251	
252	Despite the patient expressing clear doubts the physiotherapist continued to
253	prescribe an individual exercise programme contrary to the patient's preferences:
254	
255	"He had tried exercises in the past from a previous physio that he didn't find
256	helpful even though he said he had tried them religiously. So it is difficult to
257	know how compliant he will be. I think he was willing to try them again." (OT1
258	(17).20-21)
259	
260	Checking patient understanding and ability to implement the plan: to effectively
261	participate in decision making, patients should have some understanding of their
262	problem and the benefits and limitations associated with treatment options [5].
263	Physiotherapists frequently questioned whether their explanations had gone far
264	enough, such that on occasions they questioned whether patients would actually
265	return for review:
266	
267	"I'd like to think she has taken on board everything I've said, and that
268	therefore she had a fairly good understanding. I have misgivings however; I'd
269	be interested to find out whether she has done any of it or in fact comes
270	back." (OT6 (7).22)
271	

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272	The physiotherapists' approach to implementation of an exercise programme
273	suggested a tendency to provide perceived beneficial treatments over informed
274	patient choices based on a process of implied consent:
275	
276	"A good proportion of the time I will say 'look this is what I think is up, this is
277	what I think will help you, what do you think, do you agree and are you happy
278	to do that?"" (T4.49-51)
279	
280	From these comments it could be concluded that very little shared decision making is
281	likely.
282	
283	
284	Theme 2: Which exercise? - the tension between evidence and everyday
	Theme 2: Which exercise? - the tension between evidence and everyday practice
285	
285 286	
284 285 286 287 288	practice
285 286 287	practice  This theme can be broken down into a range of sub themes which encapsulate the
285 286 287 288 289	practice  This theme can be broken down into a range of sub themes which encapsulate the struggle to balance competing priorities of research evidence, patients' preferences,
285 286 287 288	This theme can be broken down into a range of sub themes which encapsulate the struggle to balance competing priorities of research evidence, patients' preferences, as well as the physiotherapist's own attributions and perceived professional role
285 286 287 288 289 290	This theme can be broken down into a range of sub themes which encapsulate the struggle to balance competing priorities of research evidence, patients' preferences, as well as the physiotherapist's own attributions and perceived professional role
285 286 287 288 289 290	This theme can be broken down into a range of sub themes which encapsulate the struggle to balance competing priorities of research evidence, patients' preferences, as well as the physiotherapist's own attributions and perceived professional role when deciding on the type of exercise to be prescribed.
285 286 287 288 289 290 291	This theme can be broken down into a range of sub themes which encapsulate the struggle to balance competing priorities of research evidence, patients' preferences, as well as the physiotherapist's own attributions and perceived professional role when deciding on the type of exercise to be prescribed.  **Interpreting the evidence: physiotherapists' interpretation of the evidence led to a structure of the evidence.

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296	"Evidence tends to imply that any form of exercise is going to be helpful in th	
297	long run, it's just about getting out there and doing it." (T1.48)	
298		
299	Exercise needs to be fun: physiotherapists talked about the need for patients to	
300	'enjoy' exercise to want to engage in and continue doing it, potentially taking into	
301	account the influence of patients' values and perspectives on exercise, and on	
302	factors that could empower patients to take control by generating their own ideas	
303	exercise:	
304		
305	"I guess some patients come in with specific ideas or they are already	
306	attending yoga or pilates, and I think it is worth taking on board what they	
307	bring in with them rather than what you think" (T4.63)	
308		
309	It depends on what I find: in contrast to the previous two sub themes, seven	
310	physiotherapists stated that the objective assessment in terms of finding positive and	
311	negative evidence towards specific postural, structural or biomechanical problems	
312	predominated in determining the exercise prescribed:	
313		
314	"Overall once I've decided to include it, the objective assessment plays a very	
315	large role in the choice of specific exercises. I will tend to work out what I think	
316	is best." (T4.35)	
317		
318	In spite of the frequently reported use of a specific exercise programme, several	
319	physiotherapists also questioned the merits of such an approach, feeling that	

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320	patients would be less likely to engage with an exercise programme perceived as
321	'boring' and possibly not offering immediate tangible benefits:
322	
323	"I think a specific exercise programme of what are often particularly boring
324	exercises, a patient is likely to do them in the short term I suspect, but only if
325	they see some improvement in their pain."(T6.56-57)
326	
327	Physiotherapists also talked about the tendency to 'want to give the patient
328	something'. This may reflect a situation that serves the physiotherapist's needs more
329	than the patient's, fulfilling a perception of 'what I should do' as a physiotherapist:
330	
331	"I think the pressure comes from lots of different angles, it probably comes
332	from myself, in that I want to give them something to take away from the
333	session, if only it's an exercise or two I feel I should give the patient
334	something." (T6.86)
335	
336	One physiotherapist offered a unique and insightful perspective in believing a
337	philosophical shift is needed as to how physiotherapists think about their role:
338	
339	"On a philosophical level perhaps we should not think of ourselves as
340	therapists but more of a health counsellor, and not sitting with our therapist
341	hat on 'I am going to give you therapy, because I am a physiotherapist'."
342	(T7.94)
343	
344	

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#### Theme 3: Compliance-orientated more than concordance based

In this theme physiotherapists talked about the most likely influences impacting on a patient's ability to engage with an exercise programme. By eliciting this information it could be argued that the physiotherapists were adopting a patient-centred approach in terms of understanding the patients in terms of their unique individuality. However their approach could be interpreted as a form of 'bargaining' or trying to obtain compliance to their suggestions and expert recommendations, rather than a concordant approach in which power, responsibility and control over decision making is equally shared.

Pinpointing the barriers: the physiotherapists felt that the social circumstances and busy lifestyles of the patients suggested they have little time available to exercise. Negotiation then involved determining how exercise can be incorporated into the patient's lifestyle.

"I often give them a programme that only consists of 3 exercises that only take 3 to 4 minutes to do 2 to 3 times a day. I say 'do you have enough time to make a cup of tea or brush your teeth' and they'll go 'yes', and I say 'this is just exactly the same it is something you have got to slot in, that will be part of your lifestyle now and for the foreseeable future." (T5.47-48)

Worsening pain during exercise is regarded as a potential barrier to patients undertaking an exercise programme [19]. Yet, in spite of offering messages aimed at reducing patients' fear or anxiety about pain, what was apparent from this study were

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370	the physiotherapists' own reported concerns of increasing pain by using an exercis-	
371	based intervention [20]:	
372		
373	"I try and talk to them about how pain is very normal; pain is not a reason to	
374	fear, it doesn't mean harm or damage." (T1.77)	
375		
376	Physiotherapists who are intolerant of uncertainty defined as "the tendency to react	
377	negatively on an emotional, cognitive and behavioural level to uncertain situations	
378	and events" may have a stronger belief that patients could experience an adverse	
379	reaction in terms of increased pain to exercise and activity [21].	
380		
381	"I think it's quite important to make sure whatever we suggested in terms of	
382	exercise isn't worsening their pain, because that's a bad thing, they'd also	
383	then have a bad impression of physiotherapy."(T6.79)	
384		
385	Keep it simple: use of a 'simple' exercise programme was seen as the solution to the	
386	perceived barriers such as habitual inactivity, lack of time, or where concerns existed	
387	about exercise increasing the pain.	
388		
389	"I just want to make sure that they do something that's simple and not	
390	particularly difficult or challenging and get them on board that way" (T6.46)	
391		
392	Discussion:	
393	This study supports the suggestion that physiotherapy practice is not always	
394	consistent with models of patient-centred care identified in the physiotherapy	

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literature [22, 23] and frameworks underpinning a shared decision making consultation [2, 5].

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An important context for shared decision making is the existence of 'equipoise', where competing management options need to be deliberated, taking into consideration patients' informed preferences [5]. However in situations where health professionals hold strong views regarding the evidence for certain treatment approaches equipoise is unlikely to exist. With the exception of one participant, there appeared to be a degree of power asymmetry in that the responsibility for making decisions lay largely with the physiotherapists, rather than a collaborative patientcentred approach. With the patient's readiness and willingness to instigate the proposed plan based on an implied consent model [24]. This may be part of the functioning necessary for achievement of clinical activities such as exercise prescription as it establishes and maintains the clinical relationship in terms of both parties treating the clinician as the one to provide authoritative treatment [5]. Accepting that not every patient would want to be involved in the decision making due to information and power imbalances in the relationship [25, 26], patients were rarely asked to identify their own values or preferences for treatment involving exercise, and what would serve as an acceptable goal or outcome from the episode of care. The absence of goal setting supports the findings of previous research [27]. despite it being considered by the American College of Sports Medicine (ACSM) to be the most important undertaking in developing a programme of regular exercise [28].

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Determining the type of exercise revealed a tension between physiotherapists' interpretation of the evidence and their everyday practice. For this group of physiotherapists an apparent conflict existed between empowering patients to take control by undertaking an exercise programme they found fun or enjoyed, and offering a 'specific' exercise programme based on physical impairments and pain patterns derived from assessment [29].

Although participants talked about the limitations of a physiotherapist designed home exercise programme in this patient group, it still appeared to be part of their normal routine. It could be that the physiotherapists felt they had not done their job properly unless they gave the patient a specific regime of home exercises to do, reinforcing their own professional identity as 'physiotherapists'. The way in which physiotherapists act is often constrained by the situation, with ready-made routines [30]. This may be the case for the physiotherapists in this study, in that the decision to use exercise, perhaps even a typical 'recipe' of exercises, defines the normal routine or customary practice.

Throughout the study use of the term 'prescription' was open to interpretation. Based in part on the desire by the physiotherapists to encourage patients to exercise, the notion of fostering patient engagement suggested a tendency towards a compliance based approach. Through this approach patients were encouraged to conform in some way to the recommendation to exercise rather than a collaborative (concordant) approach in which goals and preferences for therapy were discussed and mutually agreed between the patient and physiotherapist [25, 27]. Physiotherapists' main strategy to foster patient engagement was to keep the

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exercises simple so that the patient would do 'something', and the option 'to do nothing' in terms of a treatment intervention did not appear to sit comfortably with some physiotherapists.

Strengths and limitations:

The purposive sampling strategy was successful in recruiting physiotherapists with extensive experience of managing patients with NSCLBP using exercise based management strategies which adds to the credibility of their accounts. This together with the direct observation of the physiotherapists' means there is good reason to believe that clinical practices and values that were expressed during the interviews were an accurate reflection of their normal practice, and potential biases such as socially desirable responses were minimised. Mulhall [31] also felt most professionals are too busy to maintain behaviour that is radically different from normal thus limiting the potential effect of the physiotherapist observer on clinical practice.

Deciding on appropriate research methods to capture evidence of shared decision making occurring in clinical encounters is a challenge. For the purposes of this research shared decision making was considered a process in which physiotherapists adopted specific behaviours to achieve a mutually agreed health care choice with patients. Nevertheless power relationships in most healthcare consultations are asymmetric, with the health care professionals approach typically dominating the interactional process, as patients rarely ask to be involved in decision making [26]. This perception of apparent asymmetry in decision making is, however, not necessarily wrong and may be part of an interaction that is collaboratively

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169	produced by the patients and physiotherapists to establish and maintain the clinical	
170	relationship. To investigate this further details concerning how NSCLBP patients	
171	interpret their experiences and preferences for involvement in decision making	
172	regarding exercise interventions have been reported in Stenner et al. [32].	
173		
174	Conclusions:	
175	Physiotherapists used a process of decision making consistent with a practitioner	
176	centred process with an emphasis on a didactic and compliance orientated delivery	
177	of exercise, with patients having little voice or interaction in the decision. The findings	
178	offer a deeper understanding of the potential mismatch that exists between the	
179	rhetoric of health care policy and clinical practice. Part of the explanation for this	
180	mismatch could be based on how sharing of decisions is viewed and defined by both	
181	physiotherapists and patients. However the findings from this research suggests that	
182	physiotherapists should reflect on their practice and critically appraise their	
183	approaches to the prescription of exercise therapy in the management of patients	
184	with NSCLBP to ensure that the care they deliver is truly patient-centred.	
185		
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189		
190		
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#### **TABLES and FIGURES**

Steps in the analysis	Description of each step in the analytic process	
1.Creating the texts:	Creating the texts, listening, reading and being immersed in each participant's text.	
2.Identifying interesting features:	Making notes of initial ideas, interesting features and messages in their texts.	
3.Initial coding:	A hermeneutic view resists the idea that there can be one single authoritative reading of a text. To increase the rigour of analysis a three stage iterative process was undertaken:	
	Mainly descriptive attempt at coding	
	Initial coding hidden and a second round of coding based on a tentative interpretation from the researcher's horizon was undertaken	
	A final coding based on a conclusive interpretation was written	
	Coding tables for each of the participants were then constructed with the corresponding data extracts.	
4.Development of themes:	A manual approach was used to identify the common patterns in the texts to form potential sub-themes and themes, relating these themes to data extracts from each participant.	
5.Refining the themes:	The main themes and sub-themes were further refined through continuation of the iterative process. Individual text interpretation summaries were sent to each participant to allow them to comment on the interpretations made by the researcher. Key themes were then presented to two colleagues with experience of managing patients with NSCLBP for their opinions as to whether the interpretations were acknowledged as conversant to their own experiences. (13)	
6.Producing the report:	Relating the analysis back to the research aims and literature, and producing a scholarly report of the analysis.	

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Table 1. The process for interpretation of the texts.

Themes	Sub themes
I want them to exercise	Defining the options available
	I try and get people to think about it
	from my point of view
	Checking patient understanding and
	ability to implement the plan
2. Which exercise? - the tension	Interpreting the evidence
between evidence and	Exercise needs to be fun
everyday practice	<ul> <li>It depends on what I find</li> </ul>
Compliance-orientated more	Pinpointing the barriers
than concordance based	Keep it simple

Table 2. Themes and sub themes relating to how shared decision making and patient participation are addressed in the process of exercise prescription.

Themes were developed and refined through an evolving iterative process (see Table 1). Where appropriate the participants' own language has been retained in the theme headings.

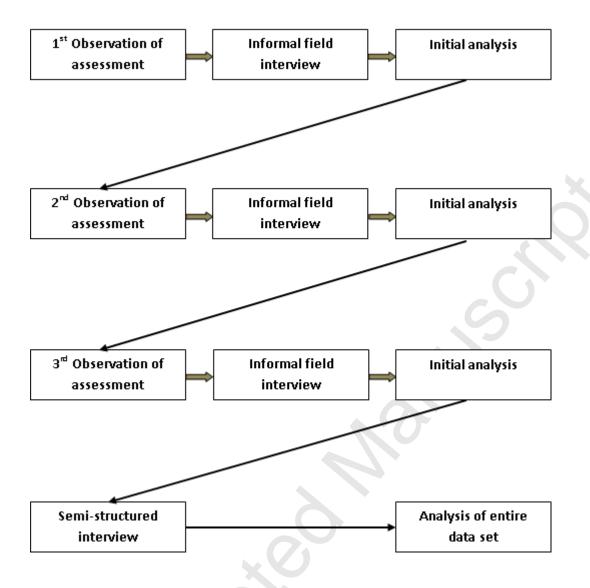


Figure 1. The sequence of interviews with and observations of physiotherapists and their patients.