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Therapeutic alliances in stroke rehabilitation: A meta-ethnography.

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Reprints may be obtained from the corresponding author.

1 Therapeutic alliances in stroke rehabilitation: A meta-ethnography. 2 Abstract 3 Objective: To synthesise qualitative studies exploring patients' and professionals' 4 5 perspectives and experiences of developing and maintaining therapeutic alliances in stroke 6 rehabilitation. 7 8 Data Source: A systematic literature search was conducted using the following electronic databases: PsychInfo, CINAHL, EMBASE, Medline, AMED, ASSIA, ComDisDome from 9 inception to May 2014. This was supplemented by hand searching, reference tracking, 10 11 generic web searching and e-mail contact with experts. 12 13 Study selection: Qualitative peer reviewed articles reporting experiences or perceptions of the patient or professional in relation to therapeutic alliance construction and maintenance 14 15 in stroke rehabilitation were selected for inclusion. Following a process of exclusion, 16 seventeen publications were included in the synthesis. 17

Data extraction: All text identified in the 'results' and 'discussion' sections of the selected studies were extracted verbatim for analysis in a qualitative software programme. Studies were critically appraised independently by two reviewers.

21	
22	Data synthesis: Articles were synthesised using a technique of meta-ethnography. Four
23	overarching themes emerged from the process of reciprocal translation: (1) the
24	professional-patient relationship: degree of connectedness; (2) asymmetrical contributions;
25	(3) the process of collaboration: finding the middle ground; and, (4) system drivers.
26	
27	Conclusion: The findings from the meta-ethnography suggest that the balance of power
28	between the patient and professional is asymmetrically distributed in the construction of
29	the alliance. However, given that none of the studies included in the review addressed
30	therapeutic alliance as a primary research area, further research is required to develop a
31	conceptual framework relevant to stroke rehabilitation, in order to determine how this
32	construct contributes to treatment efficacy.
33	
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35	
36	
37	Keywords: Rehabilitation; Stroke; Professional-Patient Relations; Power (psychology);
38	Qualitative Research.
39	

- 40 Abbreviations:
- 41 Critical Appraisal Screening Programme (CASP); International Classification of functioning
- 42 (ICF); Therapeutic Alliance (TA)

In the field of psychotherapy, the quality of the relationship between the therapist and patient, also known as the therapeutic alliance (TA), represents a major variable in treatment outcome in the therapeutic process. ^{1,2} TA, sometimes referred to as working alliance, is an umbrella term used to describe the interpersonal processes operating during therapeutic encounters. ³ Its roots are firmly established in the field of psychotherapy and its emergence dates back to Freud's theory (1912) ⁴ of transference and counter transference.

The conceptualisation of TA was further developed by Bordin ⁵ (1979), who proposed a tripartite model based on: congruence in relation to the *goals* and purpose of therapy (1); collaboration on explicit *tasks* to meet those goals (2); and establishment of an emotional *bond*, characterised by trust and liking between the client and the therapist (3). Bordin proposed that the construct of therapeutic alliance could be applicable to all change situations, consisting of a change agent and a person seeking change, independent of treatment modality. ⁶

The development of an effective therapeutic alliance has been found to be positively associated with treatment efficacy across a range of psychotherapeutic treatment modalities and aetiologies, ^{1,2} suggesting that TA is a variable component of therapy "in and of itself". ^{7 (p92)} There is burgeoning evidence to suggest that TA may be an essential component in all therapeutic encounters in the field of allied healthcare and medicine. ⁸⁻¹¹ Establishment of an affective bond between the provider and patient has been positively associated with treatment adherence ^{9,12,13} and health outcomes, including pain management, functional and physiological status ¹⁴ and symptom resolution. ¹⁵ In a systematic review, Hall et al. ¹⁰ reported a positive effect of establishing a good TA on

treatment outcome in physical therapy. Similarly, studies in the field of brain injury have reported positive associations between an effective TA and treatment adherence and outcome. 16-19

TA may have the potential to unlock some of the problems associated with adherence and engagement in rehabilitation, ²⁰⁻²¹ which may help us understand why clinicians achieve different outcomes when the content of therapy remains the same. ²² Indeed, the centrality of collaborative goal setting in the rehabilitation process is widely acknowledged ²³⁻²⁴ and has been found to affect participation, motivation ²⁵ and satisfaction. ²³ TA, as a construct, appears to be of particular relevance to stroke rehabilitation because rehabilitation aims to promote recovery through optimising function and adaptations ²⁶ and therefore requires the establishment of a common purpose ²⁷⁻²⁸ and a shared commitment to engage in therapeutic activities required for goal achievement ²⁹ within a context of mutual trust and empathy ³⁰.

The primary objective of this meta-ethnography was to synthesise patients' and professionals' perspectives and experiences of developing and maintaining therapeutic alliances in stroke rehabilitation. Although TA as a construct has yet to be applied qualitatively to the field of stroke rehabilitation, there are studies which explore aspects of the TA, such as therapeutic relationships or collaborative goal setting. This synthesis therefore aimed to create a deeper understanding of TA as a whole from its component parts. The secondary objective of this synthesis was to investigate the utility of psychotherapeutic constructs of TA, in particular, Bordin's pantheoretical construct of TA, to

89	the field of stroke rehabilitation. The technique used to synthesise the data was meta-
90	ethnography which was specifically chosen as it lends itself to the application of theory and
91	model generation of experiences ³¹ , can be used to present a novel interpretation of "the
92	collective that may differ remarkably from the component parts" ³² (p326) and has been used
93	extensively in the field of healthcare to examine experiences and views. 33-34
94	
95	Methods:
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97	
98	Design:
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101	A tripartite design was employed: 1) systematic search; 2) critical appraisal and; 3) synthesis,
102	based on Noblit and Hare's (1988) ³⁵ meta-ethnographic approach, adopted by Britten et al.,
103	(2002) ³⁶ and Atkins et al., (2008). ³¹
104	
105	Search strategy
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A systematic search of electronic databases was undertaken using PsychInfo, CINAHL,
EMBASE, Medline, AMED, ASSIA and ComDisDome from inception to May 2014, by the first
reviewer (ML). Key terms relating to a broad definition of TA, stroke rehabilitation, and
perceptions were selected for the search strategy, using a modified version of the SPIDER
search strategy tool ³⁷ (Table 1). Subject headings were identified and modified for individual
databases, in addition to using free text terms. The following search strategies were
employed to compensate for problematic indexing and inadequacies of retrieval terms: ³⁸ (1)
hand-searching relevant journals in the field of rehabilitation (Topics in Stroke
Rehabilitation, Clinical Rehabilitation, Journal of Interpersonal Communication Disorders);
(2) manually searching bibliographies and undertaking forward citation searches of articles
selected for full text screening; (3) contacting experts with specialist knowledge of TA within
the field of rehabilitation; and (4) generic web searching (google scholar).
Study selection
Abstracts and titles from the database searches were screened for relevance, by the first
reviewer (ML) and selected if they met the following criteria: (1) qualitative data in a peer

reviewed journal, (2) experiences and/or perspectives of the rehabilitation specialist and/or

patient, (3) TA or an aspect of the TA was discussed as the main conceptual focus of the

paper, (4) findings relating to stroke rehabilitation from an adult population, (5) available in 129 English as a full article. 130 131 132 Studies were excluded if they reported mixed population data, with no stroke specific findings, because the process and, therefore, the experience of rehabilitation ^{26,39,40} and goal 133 setting⁴¹ for stroke patients is likely to be different to other neurological conditions. 134 135 References were imported into EndNote X7 software 42 and duplicates were deleted. Full 136 texts of potentially relevant articles were retrieved and then scrutinised independently by 137 the first (ML) and last author (KS). Study inclusion was agreed via consensus. 138 139 140 Critical appraisal 141 142 143 There is currently no universally accepted approach to evaluating the methodological 144 quality of qualitative studies⁴³ and debate continues over the merits of using quality 145 checklists and tools. 44 As such, it remains unclear as to whether articles should be excluded 146 based on quality appraisal. 44 Given that the quality of the written report does not always 147 reflect the actual conduct of the research³¹ and the objective of the paper was to explore 148

analysis.

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perspectives and experiences of developing and maintaining TAs, all articles were included
regardless of methodological quality, to ensure all relevant findings were reported. Quality
assessment was used descriptively to reflect on the strength of the findings.
To review the quality of the research, the Critical Appraisal Screening Programme (CASP) ⁴⁵
for qualitative research was chosen. The CASP consists of a 10 question checklist evaluating
rigour, credibility and relevance. Each question contains prompts to examine: research
design, recruitment strategy, data collection, researcher and participant relationship,
research ethics, data analysis, findings and contribution to knowledge. A 3 point rating
system ⁴⁷ was used to appraise all studies (Table 2). Two reviewers (ML, KS) independently
assessed each article for methodological quality, using the CASP criteria. Differences in
opinion were mediated through discussion and agreed via consensus.
Data extraction and synthesis
Data were extracted using a standard form detailing the aims, methods, theoretical
framework and context of each study. The 'findings' and 'discussion' sections of the selected
articles were imported verbatim into QSR NVivo 10 software programme ⁴⁷ for further

This review adopted a meta-ethnographic methodology, which combines both an inductive and interpretive approach to knowledge synthesis.³⁵ This meta-ethnographic approach is characterised by seven stages, which do not exist in isolation but overlap and are subject to repetition³⁵ (Table 3).

The first author re-read the studies several times and generated a list of key metaphors or constructs from each paper³⁵ (phase 3). In order to determine how the studies were related to each other, three members of the research team (ML, KS, collaborator) independently created 'conceptual maps' from the list of key constructs, to establish the relationship between studies. Overarching themes were used to frame and organise the key constructs, which were subsequently merged and juxtaposed until consensus was reached regarding the emergent relationships between the salient constructs (phase 4).

The overarching themes identified were broad enough to encompass the key constructs across all the papers and, for this reason, the synthesis took the form of a 'reciprocal translation', a process in which one study is translated into another by comparing the extent to which findings and constructs from one paper are related to those in another. An index paper was identified as a starting point for translation which reflected the core concepts relevant to TA in stroke rehabilitation and subsequent papers were compared with this paper, and so on, until all the papers had been translated into one, encompassing the relevant concepts within all studies. New themes and constructs were added as part of an

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iterative approach. Perceptions derived from patients and professionals were differentiated				
in order to identify similarities and differences in perceptions. Table 4 displays a summary of				
the abstracted findings from the process of translation (phase 5).				
The process of developing a line-of-argument synthesis involved: 1) re-reading the				
reciprocal translations and studies on numerous occasions; 2) analysing the data				
thematically; and, 3) interpreting the findings (phase 6). Each member of the team				
subsequently reviewed the emergent line-of-argument synthesis and confirmed whether				
the first author's interpretation was consistent with the translated themes and key				
constructs of the findings from the original studies. The current synthesis was expressed in				
the form of a diagrammatic model to facilitate effective communication (phase 7).				
Rigor				
A meta-ethnography, by its very nature, is not replicable, nor does it attempt to be; rather it				
represents a "reading" of studies and, as such, it is likely that other readings may identify				
alternative interpretations. ³⁵ Noblit and Hare suggest that these interpretations must be				

grounded in the primary articles selected for synthesis. 35 The authors employed several

strategies to ensure that the synthesis was 'grounded' in the data extracted from the

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original studies via: preservation of the authors' terminology, conducting regular team debrief meetings to discuss emergent themes and challenge emergent translations, keeping extensive documentation and audit trails, and, secondary reviewers reading and validating the process of synthesis. Rigor was further enhanced by the use of systematic search strategies and critical appraisal. The first researcher's own biases as a speech and language therapist may have differentially affected the interpretative process of synthesis, however members of the team had different clinical backgrounds, which served to challenge potential bias, enhancing the trustworthiness of the findings. Results: Sample

A total of 5787 titles were identified for review. Seventeen studies were subsequently identified for inclusion (Figure 1), published between 1995 and 2014. TA was not identified as a primary focus of interest in any of the studies; rather a component of TA was discussed as the main focus of interest. Several studies explored the role of collaborative goal setting in stroke rehabilitation. 49-54 Others focused on aspects of communication and relationship

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development ^{48,55-58} (Table 5). Studies largely featured participants' early experience of stroke
rehabilitation, primarily on inpatient units ⁵⁰⁻⁶³ ; only a small number of studies explored an
aspect of TA in the later stages of rehabilitation. 48-49, 64
The methods employed to capture participants' perceptions and experiences were largely
interviews (n=13), which were framed within a range of epistemological paradigms,
although these were not consistently specified. There was considerable variability in the
methodological quality of included studies, with 2 studies ^{55,59} consistently providing limited
or no justification for 6 or more of the CASP dimensions. The major areas of methodological
weaknesses across studies related to: the inadequacy of evidence of reflexive practice ⁴⁸⁻⁵¹ ,
53-64, insufficiency of evidence of ethical consideration 48-49,54,56,58-64 and a lack of transparency
in analysis. 55,59-60,62
Participants
The cample was diverse (n=422), encompassing professionals from a range of fields (n=160)
The sample was diverse (n=432), encompassing professionals from a range of fields (n=169).
Physiotherapists (n=50) and speech and language therapists (n=50) represented a larger
proportion of the sample, whilst doctors (n=10), nurses (n=25) and occupational therapists
(n=15) were under-represented in the sample. Stroke patients (n=263) had a range of

255 deficits, including aphasia; however this was not consistently specified. At least seven 256 different developed countries were represented in the sample. Study characteristics are 257 displayed in Table 5. 258 259 260 Synthesis 261 262 263 Four overarching themes were identified from the process of reciprocal translation: 1) the 264 professional-patient relationship: connectedness, 2) asymmetrical contributions, 3) the 265 process of collaboration: finding the middle ground, and, 4) system drivers. 266 267 268 Professional-patient relationship: connectedness 269 270 271 Connectedness embodies the degree of cohesion and establishment of a genuine bond 272 within the therapeutic relationship. All stakeholders believed that a solid therapeutic relationship was a crucial component of purposive stroke rehabilitation. ^{48,55-57,60} Patients, in 273 274 particular, believed that the therapeutic relationship was of paramount importance,

commensurate with the therapeutic activities targeted. ⁴⁸ In the aftermath of stroke, patients assumed a position of vulnerability and dependence ^{48,57,59,61-62} and, as such, assigned considerable importance to an attitude of caring, ^{48,61-62} in contrast to speech and language therapists who primarily fostered rapport in an effort to promote therapeutic efficacy, as part of "doing a job". ^{48 (p284)} Despite these differences in priorities, the majority of patients reported that they had confidence in and trusted their healthcare professional. ^{48,54-56,59,61,63} "I asked her quite blankly, 'Are we getting anywhere or not?' She said, 'Oh, we're doing fine'. That's enough for me... Just keep going until she says, 'Stop'". ⁵⁵ (p103) Equally, professionals recognised the importance of developing trust in therapeutic relationships and its potential to affect engagement. ⁵⁶⁻⁵⁷ "As soon as we are able to foster a relationship of trust, patients begin to work with us, almost for our sake at first, and eventually realise that they can recover". ^{56(p221)}

For patients, in a position of vulnerability, being treated with dignity and being acknowledged as an individual rather than "just another patient" ^{62 (p19)} was fundamental to feeling valued and was expressed through professionals 'giving time' and attention to individuals. ^{55,57,61-62} Patients felt valued when healthcare professionals exhibited attributes of patience, tolerance, attentiveness, interest, kindness and warmth. ^{48,61-62} Equally, nurses felt valued when their efforts were acknowledged by patients. ⁵⁷ Professionals valued reciprocal behaviours in patients, specifically openness, enthusiasm, engagement and realism ^{48,55,57} and employed a number of strategies to promote affiliation and solidarity through adapting their behaviour, giving time, displaying empathy, engaging in humour and giving encouragement. ^{55-58,61,63-64} For professionals who had unsuccessfully attempted to

298	develop a relationship with patients, despite employing facilitative strategies, withdrawal
299	was perceived to be their final option. ⁵⁵
300	
301	Staff and patients ascribed meaning to each others' personal qualities and behaviour, with
302	staff identifying "favourite patients", 55 (p105) which had the potential to either solidify or
303	impede therapeutic relationships. Professionals conceived that the presence of
304	communication difficulties hindered dyadic interaction and inhibited the development of an
305	affective bond. 48,55,57 However, some professionals perceived that they were able to
306	strengthen the therapeutic bond through spending time with patients with aphasia,
307	bypassing verbal barriers. ⁵⁷
308	
309	Contrary to a dominant trend in which patients reported positive experiences of stroke
310	rehabilitation, were reports of inhuman treatment, carelessness, disregarded concerns and
311	episodes of insensitivity, which threatened to erode trust and debase patients' dignity. 55-
312	^{56,61-62} "You really don't know a thing, which proves the point that you don't have any dignity
313	at all, because 'we (the hospital staff) do as we like.' And that's that". ^{61 (p829)}
314	
315	
316	Asymmetrical Contributions
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Across seven papers, collaborative goal setting was rarely adopted in stroke rehabilitation 48,50,53,54,56-58 and when patient-therapist dyads engaged collectively in goal setting, the process was largely therapist led, with the therapist generating the goals for intervention. 53,57-58 Both interviews with patients and professionals and observational data, suggested that asymmetrical contributions in goal setting were produced collaboratively.

Dyadic influence: Agents of asymmetry

Patients' attitudes towards participation were diverse. For some patients, the desire for decisional control was important, whereas for others, the concept of collaboration was either unimportant or alien and there was an expectation that the healthcare professional would adopt an 'expert' role, assuming decision making responsibility, whilst the patient assumed a role of the acquiescent recipient. Aliented This desire for low decisional control has been ascribed by professionals to both temporality and the process of "coming to terms" with stroke. In contrast, many patients wanted to be actively involved in goal setting and become joint partners in the planning and process of goal setting. For some patients, lack of decisional control was associated with "a loss of self- determination". Cause they boss you around, cause you're sick, aren't you? And then you've got no say. I've noticed that now". Cause more active involvement in decision making. Indicated that younger patients appeared to advocate more active involvement in decision making.

Similarly, professionals perceived that patients wished them to assume an 'expert' role and direct goal setting. 48,52-53,57 For a small number of professionals, the family's decision superseded patient autonomy which was reportedly concordant with patient expectations. In contrast, therapists across four other studies emphasised the importance of establishing collaboratively agreed goals 48,50,60,63 and identifying and incorporating patient specific goals. However, patient interviews and observation have revealed that this process was not always evident in practice. 53,63

Professionals perceived that a range of factors intrinsic to the individual served to inhibit participation namely: the patient's passivity, psychological adjustment and coping strategies, previous experience with illness, and the patient's age and personal characteristics. 48,50,52,54-55,59,62 Passivity featured across a number of studies, 48,54,55,59,62 which professionals attributed to variables of age, time post-stroke, communication impairment and cultural diversity. Aetiological factors such as depression, reduced insight, physical, cognitive and communication difficulties were perceived by professionals to play a significant role in impeding collaborative goal setting.

The clinician's level of experience was deemed by professionals to directly impact on the nature of collaboration. A8,52,63 Indeed, therapists wanted to involve patients but "did not appear to know how to do it". Physiotherapists perceived that they were on a "journey" in which their skills evolved over time, developing from an "initial black"

and white mechanistic view...to a greater focus on patient empowerment"^{52 (p151)} However, some physiotherapists felt that skills such as rapport could not be learnt.⁵²

The process of collaboration: Finding the middle ground

The process of collaboration was closely aligned to the theme of 'connectedness', because a solid therapeutic relationship was conceived by professionals to provide the context for collaborative goal setting and, therefore, the premise for establishing congruence. 48,49,52,54,60 Therapists attributed episodes of incongruence to a weak therapeutic relationship and misaligned goals. 50,54 Interviews with professionals revealed that goal setting was led by their hospital policy requirements which demanded realistically achievable goals to be set within a short time frame and focused on return of function. 48,50-51,54 Consequently, therapists' goals were framed largely at the impairment and activity level of the International Classification of Functioning (ICF) (World Health Organisation) and were not always analogous to patients' perceived goals, particularly if they were representative of the participation level of the ICF. 48,50,54,63 When goals misaligned, interactional difficulties ensued which had the potential to be time consuming and unpredictable, 50-51,53 demanding "significant effort". 52(p153)

Professionals attributed interactional dilemmas to what they believed were patients' unrealistic expectations and the prioritisation of "privileged" goals. ^{51(p210)} ^{48,50,52,53} In the early stages, professional's perceived that patients were still 'coming to terms' ^{52(p150)} with their stroke and may not have been ready to accept their prognosis, preferring to place their hope in recovery. ⁴⁹ In contrast, patients' perceptions of recovery varied, from the realistic ⁶² to hopes which "were tinged with realism". ^{49(p404)} Both professionals and patients conceived hope as a fundamental driver for recovery. ⁴⁸ Professionals believed that the act of balancing realistic expectations and maintaining hope was dependent on developing a genuine relationship and approaching patients sensitively, limiting psychological stress. ⁴⁸⁻⁴⁹ Indeed, for professionals, the process of establishing realistic goals was closely intertwined with the process of acceptance and had to be carefully negotiated in order to preserve hope, integral for recovery.

Both patients and professionals recognised the importance of information provision and education, essential for setting goals, patient engagement, and engendering respect in the therapeutic dyad. ^{48,50,53,61-63} Yet patients perceived that the provision and accessibility of meaningful information was often inadequate. ⁶¹⁻⁶³ Professionals ascribed this inadequacy of information provision to professional time constraints, the patient's ability to communicate and the professional's perception that the patient wanted them to assume control. ⁴⁸

There was considerable variability in professionals' reported responses to episodes of incongruence during the process of goal setting, which encompassed: "navigating" ⁵¹

patients towards more amenable goals; limiting or avoiding talk of 'unsuitable' goals; and negotiating with patients to establish concordant goals. ^{51,53,55} Negotiation was perceived by clinicians to be reflective of a genuine attempt to work collaboratively with patients and was aligned to many staff-patient relationships described as close or "participatory". ^{55 (p104)} For professionals, negotiation was deemed to be successfully employed to reach concordance ^{49,55} and reflected an attempt by both parties to compromise, recognising the reciprocal benefit of maintaining a purposive alliance. ⁴⁸ Professionals' attempts at redirecting patients to more 'suitable' goals, which aligned with their clinical priorities, ⁵¹ served to perpetuate the asymmetrical nature of the partnership, emphasising "established clinical roles and perceived resource capacity". ^{51(p211)} Although professionals recognised that limited time resources ^{48,53} impacted on collaborative goal setting, a number of clinicians also believed that, by limiting or avoiding conflict, they would preserve the established patient-professional bond ⁴⁹ and safeguard patients from psychological stress. ^{49,53,56}

All stakeholders perceived that the process of reaching concordance was not restricted to the dyadic relationship but extended to the patients' families. 48,54,56,60,63 Professionals valued familial collaboration and recognised the potential benefit in facilitating realistic goal setting, particularly when linguistic and cognitive barriers constrained patient involvement. Family involvement varied on a continuum from full active participation to non-involvement. A few speech and language therapists believed that, for some patients, family involvement could be detrimental, particularly if a relative dominated a therapy session.

427	Motivation: A	by-product	of	collaboration	:
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Therapists perceived that employing a patient-centred framework in which patients were fully involved in goal setting had the potential to motivate patients. ⁵⁰ Equally, incongruent goals were perceived by patients to be demotivating. ⁴⁸ "I want to read, yes, yes but there I read, but they take those away and say do this (gestures to writing). I threw it away. I threw it away, because it was so silly". ^{48(p290)} Motivation was closely aligned to hope and therapists perceived that giving a sense of hope would promote motivation. ⁴⁸⁻⁴⁹ A small number of professionals and patients conceived that motivation was the result of developing an effective therapeutic relationship and of professionals engaging in productive patient interaction. ⁵⁶ Therapists' experience of developing ineffectual relationships suggested that this can have an adverse effect on therapeutic adherence. ⁴⁸ Thus, the strength of the TA, rather than collaboration alone, may have the potential to influence patient motivation.

System drivers

Organisational and financial drivers had a tangible impact on the nature of the relationship and collaboration, achieving the paradoxical effect of impeding a 'patient-centred' agenda, central to many healthcare policies. All stakeholders recognised that service constraints had

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a direct effect on time resources which impacted on frequency and length of			
rehabilitation ^{48,61} and, for professionals specifically, affected getting to know the patient,			
essential for forming a relationship and working collaboratively. 48,55,57 Time constraints			
hindered nurses' ability to be available and responsive ^{55,57} and were perceived by patients			
to differentially affect self-esteem, damaging not only nurses' relationships with patients			
but also relationships between patients, vying for attention. 55 Similarly, nurses expressed			
dissatisfaction if they were unable to be responsive to patients. ⁵⁷			
Lack of collaboration was not only a consequence of reduced time capacity but an indirect			
consequence of fiscal and organisational drivers which directed clinicians to prioritise			
'privileged' short term goals to meet discharge targets. ^{48,51,54} Fiscal policy dictated the length			
of therapeutic input and led to early discharge, which was perceived by patients and			
professionals to threaten hope 48,60,63 and had the potential to induce dyadic conflict. 60			
The public and time-centric arena of the hospital context was a significant factor in causing			
doctors and nurses "to operate closer to the hierarchical than the participative end of the			
spectrum" in forming relationships with patients. 55(p108) The lack of privacy afforded in			
hospital was perceived by professionals to further inhibit the formation of close bonds, 48,55			
particularly for those professionals whose relationships were limited to the ward			
environment. ⁵⁵			

470	Line-of-argument
471	
472	
473	Underlying the process of developing and maintaining a positive TA was an inherent power
474	differential between the patient and professional in stroke rehabilitation, in which the
475	power balance was disproportionately weighted towards professionals. Despite
476	professionals' efforts to redress the balance, disequilibrium remained dominant (Figure 2).
477	The synthesis indicated that triadic influences (system drivers, professionals and patients)
478	contributed to this imbalance of power.
479	
480	Maintaining homeostasis within the professional-patient dyad was dependent on: (1)
481	establishing connectedness in order to build equality and openness, as a premise for both
482	goal setting and targeted therapeutic interventions, (2) inclusion in goal setting in line with
483	patient choice to promote autonomy, and, (3) negotiating amenable goals, not only focusing
484	on patient choice but meeting the professionals requirement to set goals which they
485	believed were achievable, in order to establish concordance. Disequilibrium threatened
486	when the above conditions were not met.
487	
488	
489	Discussion:

The finding that the TA was characterised by an imbalance of power was perhaps not unsurprising, since its presence in the formation of the TA is inescapable, ⁶⁵ however it is the inadvertent perpetuation of this imbalance throughout the process of alliance formation and development, by both dyadic agents which was perhaps unexpected and needs to be redressed. The synthesis findings mirror those of a recent systematic review exploring stroke survivors experience of rehabilitation, in which empowerment was perceived to be threatened by inadequate information provision, lack of collaboration and disrespect. ⁶⁶

The benefit of maintaining a positive TA was perceived to be great, both in terms of engagement and motivation. A number of studies have suggested that the development of an effective therapeutic relationship may be fundamental in activating patient engagement²⁰ and motivation,⁶⁷ highlighting the potential of TA as a mechanism for change.

The question remains as to whether Bordin's constructs of TA⁵ are indeed transferable to the field of stroke rehabilitation. The theme of 'connectedness', which is closely correlated to Bordin's construct of 'bond' (3), was characterised by a feeling of wanting to be liked, cared for and trusted, resonating with Bordin's⁶ suggestion that these attributes were common across all modalities. The synthesis did not, however, consider the importance of other components embedded in psychotherapy, ^{68,69} such as understanding and unconditionality relevant to the 'bond' construction, which is not to suggest that these aspects were not relevant but rather that the questions have yet to be asked.

Therapeutic alliances in stroke rehabilitation

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The themes of 'asymmetrical contributions' and 'finding the middle ground' are closely
aligned to Bordin's key construct of 'goals' and establishing congruence in relation to the
purpose of therapy (1). ⁵ This process was marked by interactional dilemmas in stroke
rehabilitation. Similarly, alliance development in the field of psychotherapy is characterised
"by much negotiation". 70(p63) Where this process departed from the psychotherapeutic
experience, is in its reinforcement of therapist-identified goals, emphasising the perceived
dominance of 'privileged' goals in stroke rehabilitation, shaped by the current service
delivery model. In contrast to psychotherapy, one of the major barriers to obtaining
concordance related to the aetiological challenges specific to stroke rehabilitation (linguistic
and cognitive deficits), resonating with findings from earlier systematic reviews. 24,71
The current synthesis failed to delineate a third component of the construct of TA which
aligned with Bordin's component of 'task' (2). This may reflect an absence of articles
addressing this aspect or may be indicative of a lack of applicability, highlighting a need for
further research to ameliorate our understanding of this construct in stroke rehabilitation.
Study limitations:

The dearth of papers available focusing on TA as a primary research area has meant that key aspects of the TA relevant to stroke rehabilitation are likely to have been neglected. Indeed, findings suggest that core components of the therapeutic relationship relevant to physical rehabilitation ^{10,72} were absent from psychotherapeutic constructs of TA, highlighting the need to explicate and conceptualise the process of TA within stroke rehabilitation.

It is likely, however, that the diversity of the professions, the setting and the conceptual focus of the selected studies may have led to the development of a synthesis which overestimated some aspects of TA in stroke rehabilitation (asymmetrical contributions in goal setting, inpatient environment) and underestimated other aspects (such as communication⁷²), undermining the conceptual 'richness' of the synthesis. A number of key constructs were heavily influenced by professional perceptions, such as 'balancing hope with expectations', in which professionals assumed that patients would have to accept their residual deficits in order to progress, when in fact stroke survivors reported that testing boundaries and assuming autonomy led to more realistic expectations, negating the requirement to set 'realistic' goals, ^{73,74} thereby, highlighting the need for further exploration of this construct from the perspective of both stroke survivors and providers.

The papers were selected on the basis of their conceptual focus rather than their representativeness of a sample population. Therefore, the synthesis was grounded within a range of epistemological frameworks and methodologies. The inclusion of papers deemed methodologically 'weak' may have affected the findings. Removal of methodologically

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'flawed' papers^{55,59} however did not differentially affect theme and construct development. Equally, the findings from methodologically weaker papers did not contradict other papers and it became clear throughout the process that those studies with conceptually 'rich' data made a greater contribution to the synthesis than those representing strong methodological findings. **Conclusions:** This synthesis offers new insights into professionals' and patients' experiences and perceptions of developing TA in stroke rehabilitation, highlighting the importance of developing 'connectedness' as a context for collaboration and managing potential tensions. There are a number of components of Bordin's construct which may be applicable to stroke rehabilitation, however, our conceptual understandings are merely embryonic at this stage and we currently lack a conceptual model on which to frame our understandings of this concept in the field of stroke rehabilitation. Rather than answering questions about what we know about TA in stroke rehabilitation, this review has highlighted what we do not

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potential. ²²	4
rehabilitation. Failure to address these issues may mean that patients fail to rea	ch their full
to stroke rehabilitation, in order to, 3) explore the relationship between TA and	stroke
which can then be used to inform the development of, 2) a robust measure of T.	A applicable
Future research needs to; 1) develop a conceptualisation of TA in stroke rehabili	tation,

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791	Figure Legends:
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793	Figure 1: Search strategy and exclusion process
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795	Figure 2: The power differential
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797	Table 1: Search terms
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799	Table 2: Critical Appraisal Screening Programme (CASP) analysis
800	
801	Table 3: Noblit and Hare's seven stage ethnographic process
802	
803	Table 4: Abstracted findings from the process of reciprocal translation
804	
805	Table 5: Characteristics of synthesised studies
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808	

Table 1: Search terms

Sample			Phenomenon of interest	Evaluation
(OR)			(OR)	(OR)
neuro*	AND	rehab*	working adj2 alliance	view*
stroke			therap* adj2 alliance	experience*
CVA			treatment adj2 alliance	opinion*
cerebrovascular adj2 (disorder* OR accident*)			collaborative adj2 goal*	attitude*
aphas*			(joint OR shared) adj2 decision making	perce*
(cerebral OR brain) adj2 (bleed* OR haem* OR injur* OR damage*)			relations*	belie*
post stroke			helping adj5 alliance	feel*
			interact*	know*
			partnership*	understand*
			trust*	meaning*
			bond*	perspective*
			disagreement*	
			agreement*	
			genuine*	
			rapport	
			empath*	
			collaboration	
			therapeutic process	
			(collaborative OR agreed) adj2 purpose	
			(collaborative OR agreed) adj2 (task* OR activit*)	

Was the recruitment strategy appropriate to the aims of the research?	Was the research design appropriate to address the aims of the research?	Is the qualitative methodology appropriate?	Was there a clear statement of the aims of the research?	
++	1	+	1	Gibbon 2004 ⁵⁹
1	-	ı	-	Jones et al., 1997 ⁵⁵
++	+	‡	++	Lawler et al., 1999 ⁴⁹
+	++	‡	++	Leach et al., 2010 ⁵⁰
‡	‡	‡	‡	Levack et al., 2011 ⁵¹
1	-	+	+	Lewinter & Mikkelsen, 1995 ⁶⁰
‡	+	‡	‡	Lloyd et al., 2013 ⁵²
+	+	‡	+	Mangset et al., 2008 ⁶¹
1	+	‡	‡	Parry et al., 2004 ⁵³
‡	‡	‡	‡	Pound et al., 1995 ⁶²
1	+	+	‡	Rohde et al., 2012 ⁵⁴
-	++	‡	+	Simmons-Mackie & Schultz 2003 ⁶⁴
+	+	‡	-	Slingsby et al., 2006 ⁵⁶
+	+	+	+	Sundin et al., 2001 ⁵⁷
1	‡	‡	‡	Talvitie & Reunanen, 2002 ⁵⁸
+	‡	‡	‡	Worrall et al., 2010 ⁴⁸
ı	+	+	+	Wottrich et al., 2004 ⁶³

	explained (++)	limited or no justification for a given issue (-), the issue was addressed but lacked elaboration (+),	How valuable is the research?	Is there a clear statement of findings	Was the data analysis sufficiently rigorous?	Have ethical issues been taken into consideration?	Has the relationship between the researcher and participant been adequately considered?	Was the data collected in a way that addressed the research issue?
AC		the is	+	+	1	ı	ı	1
		sue w	+	1	1	1	1	1
		as ad	++	+	+	1	1	+
		ldress	+	‡	‡	‡	+	‡
		ed bu	+	‡	‡	‡	1	‡
		ıt lack	++	+	1	I	ı	1
		ed el	+	+	‡	‡	‡	+
		abora	+	+	+	1	ı	+
		ition (+	ı	+	ı	ı	+
			++	+	1	ı	ı	+
		ne issi	+	+	+	ı	ı	+
		ue wa	+	++	‡	-	1	‡
		ıs ext	+	++	‡	-	1	+
		ensive	++	+	‡	+	ı	+
		the issue was extensively justified or	‡	+	+	-	+	‡
		stifiea	‡	++	++	-	ı	+
		or	+	‡	+	-	ı	+

Table 3: Abstracted findings from the process of reciprocal translation

Trust			relationship: connectedness	Professional- Hur patient		Themes con	Overarching Key
Ist				Humanity		constructs	
Patient perspective: Placed their "trust" ^{61 (p831)} and "confidence" ^{63 (p1201)} in professionals competence.	Professionals valued treating patients with respect and dignity. Post stroke patients were perceived as "exposed" ^{57 (p321)} , in a process of "coming to terms" with the stroke. ^{49,52} Professional's self-worth was confirmed by "patients' acknowledgements". ^{57 (p315)}	and dependence". 61 (p832) Professional perspective:	Valued: "being acknowledged" ^{61 (p830)} and an "attitude of caring". ^{48 (p286)} Being regarded with "dignity and respectrelated to stroke patients' feelings of vulnerability	Patient perspective: Assigned importance to "the person who was treating them". 48 (p286)			Summary of abstracted findings
48,54,55,56,61,63 0	48,49,52,57,60,61			48,61-62	findings	identifying abstracted	Papers

Reciprocal partners			Facilitative strategies	
<i>Professional perspective:</i> Professionals emphasised the importance of the "patient's active role in 'doing' the treatment". ^{55 (p105)} Enthusiasm, openness, willingness and realism were identified as positive patient behaviours.	Observation: Humour provided a context of "building interpersonal connections and displaying solidarity" ⁶⁴ (p758). "Reflexive behaviour" ^{56 (p223)} and encouragement were successfully employed by a range of professionals.	Professional perspective: Establishing rapport was perceived to be a prerequisite for goal setting. Availability, "giving time" ^{55 (p105)} , empathy, encouragement and adapting behaviour were conceived to promote relationship development. If unsuccessful, some staff then withdrew from patients.	Patient perspective: Encouragement influenced satisfaction.	Professional perspective: Trust was perceived to be central to therapeutic intervention and facilitated openness & motivation. Professionals engaged in "reflexive" behaviour in order to promote trust. 56 (p223)
48,55	56,58,64	55,56,57,60,64	61	56,57

Pro Pati exp (p154	Dyadic Pat influence Des "ha	Asymmetrical Participation Coll	Pro Con abo	valu and "ass	discord
Professional perspective: Patient involvement and agreement in goal setting was valued. Perceptions of patient expectations, predominance of 'privileged' goals, professional experience, skill, "temporality" protecting psychological well-being of patients, internal (passivity, "coping style", ⁵² (p151) (coming to terms" with stroke ⁵² (p151) and aetiological (post stroke depression, reduced insight,	Patient perspective: Desire to participate varied considerably, from a desire for full active involvement to a desire to "hand over responsibility". 62 (p21) Patients felt their wishes were not consistently realised. Communication deficits and age were conceived to affect participation.	Collaborative goal setting was minimally adopted and largely led by the clinician.	Professional perspective: Communication deficits acted as a barrier to rapport building. Professionals made assumptions about patients based on their characteristics & behaviour.	value and personality", ^{61 (p829)} emphasising "their (patients) roles as dependent persons" ^{61 (p831)} and had the potential to lead to conflict or threaten engagement. Patients differentially "assigned meaning" to professional's characteristics and behaviour. ^{55 (p105)}	Threats to humanity, "lack of attention" 61 (p830) and distrust "made the patient feel deprived of
48,50,52,54,55,56,60,63	48,55,61,62,63	50,53,54,56,58,59,63	48, 55,60		48,55,56,61

			The process of Foundation Collaboration Coll		
	Balancing hope with realism		Reaching		
Professional perspective: Hope was a "driver for recovery" and its preservation was dependent on professionals "balancing the realistic with the desired". Unrealistic goals were perceived to be common and therapists sought to encourage acceptance. Unrealistic expectations were thought to be compounded by "inequities of knowledge" and "coming to terms" with stroke. SE (p150)	Patient perspective: Hope was central to recovery. Whilst some patients had realistic expectations, others were "more comfortable considering hopes". 49 (p404)	Observation: Incongruence arose when patient and professional agendas competed, leading to "Interactional dilemmas". ^{51 (p210)} Professionals employed strategies to either ignore patient stated goals, "navigate patients to more privileged goals" ^{51 (p210)} or limit the potential range of goals.	<i>Professional perspective:</i> Professional goals did not always align with patient's perceived goals. Therapists conceived that goal setting was a process of "finding a balance" engaging in complex negotiation.	Observation: "assumed an expert role", 63 (p1203) meeting patients expectations	linguistic and cognitive difficulties) factors were perceived to impact directly on both the patient's and professional's ability to collaborate.
48,49,52,53	48,49,62	51	48,49,50,52,53,54,55,56	53,63	

	Professional perspective:	Environment	System
56	Professional behaviour "demeanor" ^{56 (p222)} impacted on motivation		
	Observation:		
	involvement in goal setting was perceived to increase patient motivation.		
48,49,50,56	Development of a positive therapeutic relationship (specifically trust) and collaborative		
	Professional perspective:		
48,56	Motivation was influenced by trust and setting relevant goals		
	Patient perspective:	Motivation	
	activities, particularly for patients with linguistic and cognitive deficits.		
48,50,56,61,63	Familial involvement was perceived to be important for both goal setting and therapeutic	involvement	
	Professional perspective:	Familial	
53,58	"Inequalities in knowledge" ^{53 (p678)} impacted on the patient's ability to set goals.		
	Observation:		
	expectations & acceptance impacted on the amount of information disseminated.		
	perceived to promote realistic goal setting. Time, aphasia severity, prognosis, patient's		
48,50,53,54,55,61,63	Provision of meaningful information about the process of rehabilitation and prognosis was		
	Professional perspective:		
48,61,62	Information provision was conceived to be important but largely inadequate.	information	
	Patient perspective:	Inequity of	

											dynamics
							imperatives	Financial			
ACCEPATE.	availability.	measureable goals. Time constraints affected 'getting to know the patient', responsiveness and	affecting discharge, which indirectly affected goal setting and the prioritisation of short term	The institutional fiscal policy had a great "influence over clinical decisions", 51 (p212) specifically	Professional perspective:	relationship.	Time constraints impacted on provision of resources indirectly affecting the therapeutic	Patient perspective:	order to form relationships was dependent on the profession of the individual.	environment impacting on "rapport building". $^{48 (p287)}$ The ability to "ring fence" time $^{55 (p108)}$ in	The "time-bound context" 55 (p108), lack of privacy and "inflexibility" 62 (p21) of the hospital
				48,53,55, 57			48,55, 63			48,55,62	

Table 4: Characteristics of synthesised studies

Author/date	Setting	Sample:	Aims	Data collection	Methodology
	(Country)	(professional/patient)			
Gibbons,	Stroke	Patients (n=15)	To investigate how service users	Semi-structured	Not specified
2004 ⁵⁹	Rehabilitation		experience stroke rehabilitation.	interviews	
	Unit				
	(England)				
Jones et al.,	Stroke	Patients (n=10) key	To examine how professionals	Unstructured interviews	Grounded theory
1997 ⁵⁵	Rehabilitation	relatives (n=?) , HCPs	and patients interact on a		
	ward	(n=14) (unspecified	rehabilitation ward		
	(England)	professions)	environment		
Lawler et al.,	Community	Patients (n=30),	To explore the impact and	Semi-structured	Content analysis (record
1999 ⁴⁹	intervention,	caregivers (n=5),	practices of goal setting	interviews, record	books),
	(not specified)	specialist nurses (n=5)	between specialist nurses and	analysis	Grounded theory

	interviews	perceptions of stroke	OT=2)	Rehabilitation	Mikkelsen,
Not specified	Semi-structured in-depth	To explore therapists	Therapists (n=5) (PT=3,	Stroke	Lewinter &
	documentation.				
	observation, clinical				
	meetings, participant		n=1)		
	sessions and IDT		SW n=2, SLT n=1, CA		
	assessments, therapy		n=11, PT n=4, OT n=3,		
	recording of clinical	rehabilitation	(n=28) (drs n=6, nurses	(not specified)	
theory	interviews, open	enacted in inpatient stroke	members (n=7), HCP	rehabilitation	al.,2011 ⁵¹
Constructivist grounded	Semi structured	To explore how goal setting is	Patients (n=9), family	Inpatient	Levack et
		perspective		(Australia)	
		process from the therapist's		unit	
	dialogue	nature of the goal setting	n=2, OTs n=3, PTs n=3)	rehabilitation	2010 ⁵⁰
Framework approach	E-mail facilitated	To investigate the collaborative	Therapists (n=8) (SLTs	Sub-acute	Leach et al.,
(interviews)		patients, post stroke.			

Content analysis	Interviews	To identify what elements of	Patients (n=40)	Inpatient	Pound et al.,
		patients during goal setting.		Kingdom)	
		physiotherapists and stroke		(United	
		interactions between	(n=10)	Wards	
Conversational analysis	Observational	To examine the communicative	Patients (n=21), PT	Rehabilitation	Parry, 2004 ⁵³
		rehabilitation.		(Norway)	
		stroke patients engaging in		Unit	
approach	interviews	influence satisfaction for elderly		Rehabilitation	2008 ⁶¹
Phenomenological	Semi-structured	To determine what components	Patients (n=12)	Stroke	Mangset et al.,
		stroke rehabilitation.		(England)	
		collaborative goal setting in		Unit	
	interviews	perspectives and experiences of		Rehabilitation	2014 ⁵²
Grounded theory	Semi-structured	To explore physiotherapists	PT (n=9)	Stroke	Lloyd et al.,
				(Denmark)	
		rehabilitation.		Unit	1995 ⁶⁰

approach	observation, non-	Japan approach stroke	nurses n=4, clin. Psy	specialist	2006 ⁵⁶
Grounded theory	Non participatory	To examine how professionals in	HCPs (n=21) (drs n=4,	Stroke	Slingsby,
				(not specified)	
				Clinics	
				University	
				health &	Schultz,2003 ⁶⁴
	interviews	in aphasia rehabilitation	aphasia (n=6)	clinics, home	Mackie &
Ethnography	Observational,	To examine the role of humour	SLT (n=7), patients with	Outpatient	Simmons-
				(not specified)	
		rehabilitation.		Unit	
		therapists' goals in aphasia		Rehabilitation	
	interviews	between patients goals and	aphasia (n=4)	outpatient	2012 ⁵⁴
Content analysis	In-depth semi-structured	To examine the differences	SLT (n=3), patients with	Inpatient/	Rhode et al.,
		in hospital following a stroke.		(England)	
		care were important to patients		wards	1995 ⁶²

				practice	
				:	
		physiotherapy.		private	
		participating stroke		centres,	
		physiotherapists and patients		centre, health	2002 ⁵⁸
		interactions between	(n=9)	rehabilitation	Reunanen,
Discourse analysis	Observational	To examine the communicative	PT (n=10), patients	Hospital,	Talvitie &
		stroke.		(Sweden)	
		patients with aphasia post		ward	
hermeneutic approach		nurses relationships with		Rehabilitation	al.,2001 ⁵⁷
Phenomenological	Narrative interviews	To explore the meaning of	Nurses (n=5)	Medical	Sundin et
			families (n=26).		
	interviews		(n=48), patients	(Japan)	
	semi-structured		SLT n=3), patients	wards	
	structured interviews,	rehabilitation.	n=2, PT n=4, OT n=4,	inpatient	

	(Finland)				
Worrall et al.,	Rehabilitation	Patients with aphasia	To highlight evidence to support	Semi-structured in-depth	Content Analysis
2010 ⁴⁸	(Australia)	(n=50), family members	the centrality of the therapeutic	interviews	
		(n=48), SLT (n=34).	relationship in aphasia		
			rehabilitation.		
Wottrich et	Rehabilitation	Patients (n=9),PT	To explore how stakeholders	Observational, semi-	Not specified
al.,2004 ⁶³	units	(n=10)	(patients and physiotherapists)	structured interviews	
	(Sweden)		perceive physiotherapy		
			sessions.		
bow pationts -s	troko potionta UD)C = Hoolthcaro Drofossion	-tropic antionate BDC - Hoolthoare Professionals direndestors alia Developicate BT-physiothorapists OT-	wchologists DT-physiothors	priete OT-

key: patients =stroke patients, HPC = Healthcare Professionals, drs=doctors, clin. Psy=clinical psychologists, PT=physiotherapists, OT=

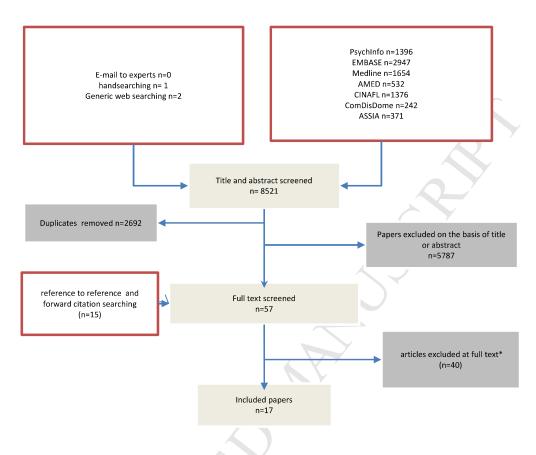
occupational therapists, SLT = speech and language therapists, SW=social worker, CA=cultural advisor

Text Box 1: Noblit and Hare's seven stage meta-ethnographic process: 36

4			
- 1	identifying a	research are:	a ot interest
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- 2) deciding what is relevant to the initial interest
- 3) reading the studies
- 4) determining how the studies are related
- 5) translating the studies into one another
- 6) synthesising the translations
- 7) expressing the synthesis

Figure 1: Search strategy and exclusion process



*Exclusions

- Non-identifiable stroke population data (n=13) Not experiences and/or perspectives of the rehabilitation specialist and/or patient in relation to an aspect of therapeutic alliance (n=26)
- Not peer reviewed (n=1)

Figure 2: The power differential

