

International Journal of Environmental Research and Public Health



Status of Theory Use in Self-Care Research

Tiny Jaarsma ^{1,2,3,*}, Heleen Westland ³, Ercole Vellone ⁴, Kenneth E. Freedland ⁵, Carin Schröder ⁶, Jaap C. A. Trappenburg ³, Anna Strömberg ^{1,7} and Barbara Riegel ⁸

- ¹ Department of Health, Medicine and Caring Sciences, Linkoping University, 581 83 Linköping, Sweden; anna.stromberg@liu.se
- ² Mary McKillop Institute for Health Research, Australian Catholic University, Melbourne, 3000, Australia
- ³ Julius Center for Health Sciences and Primary Care, University Medical Center Utrecht, 3584 CX Utrecht, The Netherlands; h.westland@umcutrecht.nl (H.W.); jtrappen@umcutrecht.nl (J.C.A.T.)
- ⁴ Department of Biomedicine and Prevention, University of Rome "Tor Vergata", 00133 Roma, Italy; ercole.vellone@uniroma2.it
- ⁵ Department of Psychiatry, Washington University School of Medicine, St. Louis, MO 63110, USA; freedlak@wustl.edu
- ⁶ Ecare4you, 3811 BJ Amersfoort, The Netherlands; carin.schroder@ecare4you.nl
- ⁷ Department of Cardiology, Linkoping University, 581 83 Linköping, Sweden
- ⁸ School of Nursing, University of Pennsylvania, Philadelphia, PA 19104, USA; briegel@nursing.upenn.edu
- * Correspondence: tiny.jaarsma@liu.se

Received: 26 October 2020; Accepted: 11 December 2020; Published: 17 December 2020

Abstract: Background: Theories can provide a foundation to explain behavior, investigate relationships, and to predict the effect of interventions. The aim of the study was to clarify the use of theories in studies testing interventions to promote self-care. Method: A scoping review. PubMed, EMBASE, PsychINFO, and CINAHL were searched from January 2008 through January 2019. Nine common chronic conditions were included. We included studies testing a self-care intervention if they used a randomized controlled trial design. The study was registered in PROSPERO (#123719). Results: The search retrieved 9309 potential studies, of which 233 were included in the review. In total, 76 (33%) of the 233 studies used a theory and 24 different theories were used. Bandura's social cognitive theory was the most frequently used (48 studies), but 22 other theories were used in a minority of studies. Most studies used theories minimally to justify or provide a rationale for the study, to develop the intervention, to select outcomes, and/or to explain the results. Only eight studies fully used a theory in the rationale, intervention development, choice of outcomes, and discussion. Conclusion: The use of theories to guide self-care research is limited, which may pose a barrier in accumulating knowledge underlying self-care interventions.

Keywords: self-care; self-management; interventions; research; theory; chronic conditions; interventions; scoping review

1. Introduction

Theory is widely regarded as integral to scientific progress. Using theories in research is thought to increase the quality and effectiveness of health interventions [1,2], making a theory-based intervention more likely to be effective than a purely empirical or pragmatic approach [3]. Yet, even a cursory review of the published literature will demonstrate that investigators struggle with the practicalities of how to use theories to design interventions. Thus, it is unsurprising that some have entirely given up and have argued that theories are unnecessary [4]. Yet, changing human behavior is particularly difficult. There are numerous theories of behavior change available to support the development of interventions; however, it is unclear how commonly those theories are used in

behavior change interventions. Thus, the aim of this scoping review is to clarify how theory is being used in research evaluating interventions promoting self-care behaviors.

Self-care is a type of behavior change required of individuals at risk for or having developed chronic illness. Self-care has been defined theoretically as a process of maintaining health through treatment adherence and health-promoting practices (self-care maintenance), behavior and illness monitoring (self-care monitoring), and managing signs and symptoms when they occur (self-care management) [5]. Research on self-care behaviors is increasing, and evidence of its contributions to health outcomes is accumulating across different contexts, populations, and behaviors [6]. To further advance the field of self-care research, to build an accumulating evidence base, and to guide future researchers in using theories in their studies, we need to understand which theories are being used currently and how those theories are used in self-care research.

Theory can be defined as "a set of concepts and/or statements which specify how phenomena relate to each other, providing an organizing description of a system that accounts for what is known, and explains and predicts phenomena" [1,2]. The well-established view among many researchers is that a theory can be used to build hypotheses about relationships between concepts, to develop an intervention, to define outcomes, or to explain research findings [7,8]. In behavioral research, theories can provide a foundation to explain behavior, investigate relationships, and to predict the effect of interventions [1,9,10]. Theory is in itself also a product of research as it aggregates scientific knowledge. It provides a means for accumulating rigorous evidence over time, allowing us to make predictions in uncertain or new contexts [8,11]. Consistent with our goal of understanding how theories are used in self-care behavior interventions, the specific aims of this study are as follows:

- Describe how many of the studies testing an intervention to promote self-care in patients with a chronic condition (hypertension, coronary artery disease, arthritis, chronic kidney disease, heart failure, stroke, asthma, chronic obstructive lung disease, and type 2 diabetes mellitus) used a theory to justify or provide a rationale for the study, to develop the intervention, to select outcomes, and/or to explain the results.
- 2. Describe which theories were used in these studies.
- 3. Describe to what extent theories were used to underpin the rationale, intervention, outcome measurements, and discussion of the results.

2. Materials and Methods

2.1. Design

This scoping review was conducted as part of a larger review of interventions to promote selfcare (further referred to as self-care interventions) in patients with a chronic condition. The design of the review has been published elsewhere [12] and registered in the PROSPERO database (#123719) and used data from one decade. In brief, we followed the methodological framework of Arksey and O'Malley [13] to identify relevant studies, select studies based on predefined criteria, extract data, and synthesize, summarize, and report results.

2.2. Search Methods

To identify randomized controlled trials of self-care interventions in patients with a chronic condition published from January 2008 through January 2019, the electronic databases PubMed, EMBASE, PsychINFO, and CINAHL were searched. Reference lists of systematic reviews and reference lists of included studies were also hand-searched to ensure complete inclusion of relevant studies. Search terms are listed in Appendix 1.

Randomized controlled trials evaluating interventions designed to promote self-care were included. According to our definition of self-care [5], interventions had to address self-care monitoring, given its importance as a bridge between self-care maintenance and management. Interventions also had to involve enhancing patients' active role and responsibility in the plan of care. That is, interventions that were limited to the passive transfer of information alone were not sufficient to be defined as self-care.

Nine common chronic symptomatic and physical conditions known to cause morbidity and mortality were chosen (hypertension, coronary artery disease, arthritis, chronic kidney disease, heart failure, stroke, asthma, chronic obstructive lung disease (COPD), and type 2 diabetes mellitus [14]). Other inclusion criteria were 1) use of randomized and concealed allocation to the intervention, 2) targeted to adult patients, and 3) behavioral or active educational intervention.

Studies were screened by title/abstract, and the full texts of potentially eligible studies were retrieved, assessed, and checked for eligibility by four trained and supervised researchers to ensure selection consistency. Discrepancies were resolved through discussion.

2.3. Search Outcomes

The search retrieved 9309 potential studies, of which 233 studies were included in the review (Figure 1).



Figure 1. PRISMA flowchart of the selection of studies using theory in self-care interventions.

2.4. Quality Appraisal

The studies in the current scoping review addressing theory use were selected from the primary group of studies identified in the scoping review of self-care interventions and were included regardless of methodological quality or risk of bias, following the guidelines for scoping reviews [13]. Studies in this review were included if authors described that they used a theory to explain or interpret patients' thoughts, emotions, or behaviors.

2.5. Data Abstraction

The use of a theory was extracted using a pragmatic coding scheme that was specifically developed for this study purpose to allow the exploration of theory use. The coding scheme included predefined categories of theory use agreed upon by consensus within the research team to 1) justify or provide a rationale for the study, 2) develop the intervention, 3) select outcomes, and 4) explain the results. Each category was assigned a value: 0 = no theory mentioned; 1 = inspired generally by theory (indirect or partly theoretical underpinning); or 2 = "guided by theory" (theoretical underpinning). Data on the use of a theory was collected from primary study publications and published trial protocols and independently extracted by the two primary researchers (A1 and A2). Discrepancies were resolved through discussion between the primary authors.

2.6. Synthesis

Quantitative analyses (e.g., frequencies) were performed using IBM SPSS Statistics for Windows version 25.0 software (IBM, Armonk, NY, USA). Knowledge synthesis was undertaken by summarizing the number of articles that used a theory, summarizing which theories were used and how often, and summarizing the use of articles that partly or fully used a theory.

3. Results

3.1. Use of Theories

In 76 (33%) of the 233 studies, one or more theories were used. In total, 57 studies used one theory and 19 studies used multiple theories with a range of two to four theories. The 76 studies represented 16,249 patients in total, 53% were female (n = 8654), and the mean age was 58.9 (SD 7.8) years. Most of the 76 studies that used theories were conducted in North America (n = 37; 49%), followed by Asia (n = 18; 24%) and Europe (n = 16; 21%). The use of a theory to test a self-care intervention decreased slightly over time (n = 43; 57%) in studies published between 2008 and 2014 compared with studies published between 2015 and 2019 (n = 33; 43%). A theory was relatively used more often in studies focusing on patients with arthritis (55%), patient with diabetes (38%) or patients chronic renal disease (38%) than in studies that focused on other conditions. Studies on the remaining chronic conditions used a theory in 22–33% of the studies (Table 1). In 31 studies, conceptual frameworks or models were used, either alone or in in combinations with theories.

3.2. Which Theories are Used?

In total, 24 different theories were used. Bandura's social cognitive theory was used in the majority of the 76 studies that used theory (n = 48; 63%); particularly aiming at increasing self-efficacy. The transtheoretical model of behavior change (18) was used in 10 (13%) studies. Most of the other 22 theories were used in a minority of studies (Table 2). In the 31 studies using conceptual frameworks or models, cognitive behavioral therapy or the chronic care model were used most often. (Table 3).

Chronic Conditions, n (%)	Self-Care Studies (<i>n</i> = 233) <i>n</i> (%)	Proportion of the Studies in Which Theory was Used <i>n</i> (%)
Hypertension	32 (14%)	7 of 32 (22%)
Heart failure	27 (12%)	8 of 27 (30%)
Coronary artery disease	15 (6%)	4 of 14 (27%)
Stroke	4 (2%)	1 of 4 (25%)
Diabetes mellitus, type 2	85 (36%)	32 of 85 (38%)
Asthma	15 (6%)	5 of 15 (33%)
Chronic obstructive lung disease	19 (8%)	6 of 19 (32%)
Arthritis	11 (5%)	6 of 11 (55%)
Chronic renal disease	8 (3%)	3 of 8 (38%)
Multiple chronic conditions	17 (7%)	4 of 17 (24%)

Table 1. Use of theories in self-care research for patients with a chronic condition ($n = 233$).
--

Table 2.	Theories	used in	self-care	interventions.

Theory	Theorist	Use of Theory * n = 76 studies; n (%)
Social Cognitive Theory	Bandura	48 (63)
Transtheoretical Model of Behavior Change	Prochaska and DiClemente	10 (13)
Social Learning Theory	Skinner	4 (5)
Adult Learning Theory	Knowles	3 (4)
Model of Self-regulation for Control of Chronic Disease	Clark	3 (4)
Health Belief Model	Rosenstock, Hochbaum, Kegeles, and Leventhal	3 (4)
Common Sense Model	Leventhal	3 (4)
Self-determination Theory	Deci and Ryan	2 (3)
Self-regulatory Framework	Kanfer and Hagerman	1 (1)
Experimental Learning Theory	Kolb	1 (1)
Learned Resourcefulness Model	Brader	1 (1)
Behavioral Model	Andersen	1 (1)
Client Behavior Model	Cox	1 (1)
Control Theory	Carver and Scheier	1 (1)
Interdependence Theory	Kelley and Thibaut	1 (1)
Social Ecological Theory	Stokols	1 (1)
Health Promotion Model	Pender et al.	1 (1)
Self-care	Orem	1 (1)
Self-care	Riegel et al.	1 (1)
Theory of Establishment of Goals and Objectives	Locke	1 (1)
Relapse Prevention Model	Marlatt and Gordon	1(1)
Symptom Management Model	Dodd	1 (1)
Proactive Coping	Aspinwall	1 (1)
Stress Theory	Mueller and Maluf	1 (1)

* Some studies include multiple theories.

Model or Conceptual Framework	Founder	Total Studies <i>n</i>
Cognitive Behavioral Therapy	Beck	12
Chronic Care Model	Wagner et al.	9
PRECEDE-PROCEED	Green and Kreuter	3
Patient Activation	Hibbard	2
Small Changes Approach	Hill et al.	1
RE-AIM framework	Glasgow et al.	1
Knowledge to Action Framework	Graham et al.	1
Cognitive Behavioral Model of Depression	Beck	1
Family Intervention HF Model	Deek	1
Health Change Methodology	Gale	1

Table 3. Models or conceptual frameworks (31 studies).

3.3. Use of Theories to Underpin the Rationale, Intervention, Outcome Measurements and Discussion

A theory was used in 41 of 76 (54%) studies to underpin the rationale of the study. Almost all studies (74; 97%) used a theory to develop the intervention, and most of these studies (n = 47) used it intensively. That is, the studies were clearly guided by a theory. However, 27 out of the 76 (36%) studies mentioned the use of a theory without describing the theoretical mechanism of the intervention. For example, authors mentioned that the intervention was based on social cognitive theory, but it was not clear how the theory was translated into concrete components of an intervention. Outcome measurements were based on a theory in 51 of the 76 studies (67%), and 34 (45%) related the results to the theory (Table 4).

Study Aspects	Total Studies ($n = 76$) n(%)
Theory used to justify the rationale	41 (54)
Inspired by theory *	22 (29)
Guided by theory *	19 (25)
Theory used for developing the intervention	74 (97)
Partly, some components/features *	27 (36)
Guided by theory *	47 (62)
Theory used to reflect the choice of outcome(s)	51 (67)
Inspired by theory *	29 (38)
Guided by theory *	22 (28)
Theory used to explain results or discuss theory	34 (45)
Inspired by theory *	21 (28)
Guided by theory *	13 (17)

Table 4. Use of theory in the rationale, intervention, outcomes, and discussion.

* Inspired by is used to describe situations where the authors only mention using a theory. Guided by indicates a substantial use of the constructs and propositions of the theory.

In total, 23 (30%) studies used a theory for all aspects (rationale, intervention, outcomes, and discussion). Overall, theory was used mostly in a general manner to provide direction rather than being used to substantially ground the intervention in the theory. In total, eight (11%) studies grounded all aspects of the study in theory (Table 5). The majority of these eight studies used Bandura's social cognitive theory and focused predominantly on enhancing self-care behavior in patients with diabetes.

Table 5. Characteristics of the studies t	hat were fully	7 guided by	v theory.
---	----------------	-------------	-----------

Author, year	n	Theory guided Intervention
		Rationale: Social cognitive theory is used to explain and hypothises
		mechanism of patients' physical activity
		Intervention: Self-regulation, self-efficiency, and strategies to strengthen
		social support to promote physical activity are stressed. Theoretical and
Mahdizadah atal		interactive educational brainstorming methods are used in seven group
	82	sessions. To amplify learning, multiple educational materials are used.
2013 [13]		Patients self-monitor and report aims, planning and evaluating their behavior
		to control their diabetes and weight.
		Outcomes: Task efficacy, barrier efficacy, modelling, social support, outcome
		expectations, goal setting, action planning, physical activity.
		Discussion: Findings are discussed in relation to the theoretical constructs.
		Rationale: Core constructs of social cognitive theory—self-efficacy and self-
		regulation—are used to hypothesise increased physical activity.
		Intervention: Four interactive group workshops included specific activities
Olson et al., 2015	116	(such as problem-solving, goal setting, and self-monitoring) to target physical-
[16]	110	activity-related self-efficacy and self-regulation.
		Outcomes: Physical activity, self-efficacy, self-regulation.
		Discussion: Findings are discussed in relation to the theoretical constructs of
		self-efficacy and self-regulation.
		Rationale: The construct of social cognitive theory —self-efficacy—is used to
		predict self-management behavior and positively influence long-term
		glycaemic control.
		Intervention: Four small group interactive education classes based on health
Shi et al., 2010 [17]	157	educational strategies and self-efficacy are held to change patients' health
		behavior. Audio-visual and written materials, small-group discussions, and
		role models in self-management are used to enhance self-efficacy.
		Outcomes: self-efficacy, glycaemic control behaviors.
		Discussion: Results are explained from the theoretical constructs of self-
		Rationale: Maintenance of behavioural change is discussed from different
		theoretical perspectives. The study hypothesizes that preactive coning
		enhances patients' self-care maintenance
		Intervention: Two individual and four group sessions are held to educate
		share their heliefs emotions and experiences. In a proactive 5-step plan
Thoolen et al., 2009	180	nation benefits, emotions and experiences. In a prodetive 5-step plan,
[18]	100	Patients are asked to act on their plan rehearse the desired behavior, and self-
		monitor their goal attainment
		Outcomes: Intentions, self-efficacy, proactive coping, self-care behaviors
		Discussion: The effectiveness of the proactive intervention is explained and
		discussed from the constructs of proactive coping.
		Rationale: The construct of the social cognitive theory —self-efficacy—is used
		to hypothesise increase of patients' perception of their diabetes control and
		apply more effective self-management strategies.
Wu et al., 2011 [19] 1		Intervention: Prior to four counselling group sessions with telephone follow-
	4.45	up, patients watch a DVD and receive an educational booklet. The group
	145	sessions include self-efficacy-enhancing skills, self-goal setting, peer support,
		and role modelling.
		Outcomes: Self-efficacy, self-care activities.
		Discussion: The effectiveness of the intervention is discussed from the
		constructs of self-efficacy.
		Rationale: The effectiveness of self-management interventions is reviewed,
Ruijiwatthanakarn at		described, and hypothesized from Orem's self-care theory and cognitive-
al 2011 [20]	96	behavioral therapy (CBT).
ai., 2011 [20]		Intervention: Three small-group education sessions include two parts: 1.
		Orem: motivation to engage in self-care action ; 2. CBT: cognitive

	restructuring related to knowledge about hypertension and self-care action.			
	Sessions target misunderstandings about hypertension and self-care			
	experiences, through lectures, discussions, demonstrations, and written			
	materials. Problem-solving, communication, goal setting, and action planning			
	are included in the sessions.			
	Outcomes: Blood pressure, mental status, knowledge of self-care demands,			
		self-care ability.		
		Discussion: The effectiveness of the intervention is discussed from the		
		constructs of both Orem's self-care theory and CBT.		
		Rationale: The social cognitive theory and its construct self-efficacy is used to		
		to underpin a cardiac rehabilitation intervention involving self-efficacy		
		enhancement.		
		Intervention: Three individual education sessions and three telephone		
Vibulabai at al 2016		sessions are held to enhance self-efficacy for independent exercise and		
	66	activities of daily living. Sessions include self-efficacy sources (i.e., enactive		
[21]		mastery experience, vicarious experience, verbal persuasion, and		
		physiological and emotional states) and collaboration with a family member.		
		Outcomes: Functional status, self-efficacy.		
		Discussion: The effectiveness of enhancing self-efficacy is discussed from the		
		theoretical constructs.		
		Rationale: A construct based on the social cognitive theory —self-efficacy—is		
		used to hypothesize improved patients' self-management.		
		Intervention: Group training using the Zurich Resource Model (ZRM [®] ;		
		Zurich, Germany) focusing on self-aspects to increase resources, self-efficacy		
		in daily life, and body awareness. The ZRM includes five sequential and		
Steuren-Stey et al.,	61	individual phases leading towards systematic goal-realizing actions: 1.		
2015 [22]	01	activation of personal resources; 2. goal setting; 3. identification of individual		
		resources; 4. action; 5. transfer into daily life.		
		Outcomes: Adherence to self-monitoring, adherence to the action plan, self-		
		efficacy, self-regulation.		
		Discussion: The effectiveness of the ZRM is explained and discussed from the		
		constructs of the social cognitive theory.		

All studies, independent of theory use to underpin their intervention, report common behavior change techniques (Table 6). However, studies that used theories for their intervention (n = 76) more often designed their interventions using behavior change techniques such as goal setting, problem solving, action planning, and review of behavioral goals.

Behavior Change Techniques	Use Theory in Intervention Development <i>n</i> = 76	No Use of Theory in Intervention Development n = 157
Self-monitoring *	100% *	100% *
Goal setting (behavior)	66%	40%
Problem solving	57%	31%
Action planning	41%	18%
Review behavioral goal(s)	38%	16%
Feedback on behavior	30%	15%
Information about health consequences	25%	17%
Social support (unspecified)	12%	5%
Reminders	5%	6%

Table 6. Behavior change techniques in development of self-care interventions for patients with a chronic condition.

* self-care monitoring was an inclusion criterion to be included in the scoping review (see Methods section).

4. Discussion

The results of this scoping review illustrate that theories are rarely used to guide self-care research. Only one of every three self-care studies used a theory to underpin the rationale, the intervention, outcomes, and/or discuss the results. This rate is even lower than that recently reported in a review of nine systematic reviews on health behavior studies, where is was found that a theory was used by 47% of the study authors [1,7].

Another major finding of this study was that a theory was most often used to a limited extent or even superficially; that is, a theory was used to inspire the researchers in the choice of certain concepts (e.g., self-efficacy) but not to guide their thinking about the rationale, development, and evaluation of the self-care intervention. Only eight studies fully used a theory in the rationale, intervention development, choice of outcomes, and discussion. One potential reason for the apparent lack of use of a theory is that it was used but space constraints limited the ability of the authors to describe their use of a theory. However, in case a reference was made to a published protocol or in-depth description related to the study, we did check these papers and use it in the analysis.

Another potential reason for the limited theory use could be that the researcher might not have known how to select an appropriate theory [23]. But even if some studies used a theory, the reasoning was not always clear, since some others just copied previous studies in the area, including the use of the same theory [2]. In our study, we found that some researchers only loosely referred to a theory without actually using it. Others have found that some researchers believe that referencing a theory makes it seem more sophisticated, solid, or advanced [1,2]. Some research fields have a stronger tradition of theory use in guiding interventional studies; therefore, researchers might feel forced to mention theory even if it was used in an unreflective or superficial way.

We also found that individual theories were often used in only a single study, often without an explicit rationale for choosing that particular theory. When use of a theory is not replicated in more than one study, this limits the field's ability to reinforce, revise, or refine the theory and build a cumulative body of knowledge over time. Assuredly, some theories will turn out to be more useful than others. It is only with accumulating evidence that we will come to realize that certain theories are not effective in facilitating self-care behavior change. A smaller handful of well-developed, empirically tested and relatively useful theories might contribute more to development of knowledge than the current practice. For example, previously it was suggested that the transtheoretical model of behavior change by Prochaska and Diclemente [24] should be replaced by better models of behavior change [25]. Yet, surprisingly, 10 relatively recent studies in our review used the outdated theory to underpin their study.

Some studies reported using more than one theory for their work, also without a clear rationale of why this was needed. Using multiple theories can result in combining contradictory constructs of behavior change, which may hamper our ability to capture the potential impact of a coherent theory [26]. Further, using more than one theory has not been found to be more effective than using a single, well-selected theory [4].

Interestingly, in those situations in which investigators did use a theory, they mostly approached self-care deficiencies as a problem related to lack of knowledge. That is, there was an underlying assumption that if people are not performing self-care, they must need to learn how to do it. Yet the wider literature illustrates that lack of motivation to change one's behavior is a much more common barrier to self-care than lack of knowledge [27,28]. When a theory was used to underpin the intervention, specific evidence-based behavior change techniques such as goal setting, problem solving, action planning, and review of behavioral goals were used more often. These techniques reflect the concepts used most often in theories such as social cognitive theory and the transtheoretical model of behavior change.

Self-care research can be improved by more efficiently building on existing knowledge by learning from other researchers. Explicit use of appropriate theory in future self-care studies might improve the design of a self-care intervention and subsequently help to build cumulative knowledge [1,7]. Choosing a relevant theory is challenging given the numerous theories and overlapping constructs [23,27]. Guidance is limited in choosing a theory suited to the target population, behavior,

and context, which provokes researchers to choose a commonly used theory that is traditionally used in their field [1,2]. To advance the potential benefit of using theory, there is a need for an accessible source of potentially useful theories and a method of how to select them [1]. A practical and systematic guide for designing and evaluating behavior change interventions is based on the theorybased behavior change heel [28,29]. Also, a web-based tool is available for researchers in which various theories of behavior change are linked to various behavior change techniques (https://theoryandtechniquetool.humanbehaviourchange.org/too).

We advocate that researchers consider using a theory as a guide to develop, evaluate, and optimize self-care interventions, allowing for appropriate use of a theory in future self-care research and accumulation of evidence over time [30]. Doing so would involve a process of choosing an existing theory on the basis of the goal to be accomplished (e.g., understand behavior, change and maintain behavior, influence the response to illness) [1,9,10].

Some limitations need to be considered. We were only able to extract the use of a theory as described in the primary publication or study protocol, which might have underestimated the actual use of a theory. We used a self-developed coding scheme that allowed us to explore the use of theory in studies testing self-care interventions. Using a taxonomy that guides the use of techniques to theoretical constructs would increase an in-depth understanding of the use of a theory.

5. Conclusions

In conclusion, the use of a theory to guide self-care research is limited. To further accumulate the evidence underlying self-care research, we advocate that researchers consider theory-based selfcare research using theory and existing tools as a guide to develop, evaluate, and optimize self-care interventions.

Author Contributions: Conceptualization, T.J., H.W., E.V., K.F., C.S., A.S., B.R., J.T.; methodology, T.J., H.W., B.R.; formal analysis; data curation, T.J., H.W. writing—original draft preparation, T.J., H.W., E.V., K.F., C.S., A.S., B.R., J.T. —review and editing, T.J., H.W., E.V., K.F., C.S., A.S., B.R., J.T.; funding acquisition, B.R., T.J. All authors have read and agreed to the published version of the manuscript.

Funding: This research was supported by Australian Catholic University. Barbara Riegel is funded by the National Institutes of Health/National Institute for Nursing Research (NINR) R01NR018196. Anna Stromberg is funded by the Swedish National Science Council/Swedish Research Council for Health, Working Life and Welfare (VR-FORTE), Ercole Vellone is funded by the Center of Excellence for Nursing Scholarship. The APC was funded by Linköping University.

Acknowledgments: We would like to thank Paolo Iovino, Ingrid Barelds, Joyce Bruins Slot, Michael A. Stawnychy, Onome Osokpo, Elise Tarbi for their assistance in collecting the data.

Conflicts of Interest: The authors declare no conflict of interest.

Appendix 1.

Search syntax for PubMed

("chronic disease" (MeSH) OR "chronic disease *" (Title/Abstract) OR "chronic illness *" (Title/Abstract) OR "chronic condition *" (Title/Abstract) OR "non communicable disease *" (Title/Abstract) OR "noncommunicable disease *" (Title/Abstract) OR "chronically ill" (Title/Abstract))

OR (essential hypertension (MeSH) OR hypertension (Title/Abstract) OR hypertensive (Title/Abstract) OR "high blood pressure *" (Title/Abstract)) OR

OR ("heart failure" (MeSH) OR "heart failure" (Title/Abstract) OR CHF (Title/Abstract) OR HF (Title/Abstract) OR "cardiac failure" (Title/Abstract) OR "heart decompensation" (Title/Abstract))

OR ("coronary artery disease" (MeSH) OR "coronary artery disease *" (Title/Abstract) OR "coronary arteriosclerosis" (Title/Abstract) OR "coronary atherosclerosis *" (Title/Abstract) OR "angina pectoris" (Title/Abstract) OR "CAD" (Title/Abstract) OR "heart disease *" (Title/Abstract) OR "myocardial infarction *" (Title/Abstract) OR "unstable angina *" (Title/Abstract) OR "angor

(Title/Abstract) OP "agute coronary syndr

pectoris" (Title/Abstract) OR "coronary thrombosis" (Title/Abstract) OR "acute coronary syndrome *" (Title/Abstract) OR "myocardial ischemia *" (Title/Abstract) OR "myocardial ischaemia *" (Title/Abstract))

OR (stroke (MeSH) OR stroke * (Title/Abstract) OR hemiplegia (MeSH) OR hemiplegia (Title/Abstract) OR hemiplegias (Title/Abstract) OR paresis (MeSH) OR

Paresis (Title/Abstract) OR "cerebrovascular trauma" (MeSH) OR "cerebrovascular trauma" [Title/Abstract] OR "cerebrovascular accident *"(Title/Abstract) OR CVA * (Title/Abstract) OR apoplexy * (Title/Abstract))

OR (arthritis (MeSH) OR arthritis (Title/Abstract) OR rheuma * (Title/Abstract) OR osteoarthritis (MeSH) OR osteoarthritis (Title/Abstract) OR arthritides (Title/Abstract) OR polyarthritis (Title/Abstract) OR polyarthritides (Title/Abstract))

OR (asthma (MeSH) OR asthma (Title/Abstract) OR "status asthmaticus" (Title/Abstract) OR "bronchial hyper reactivity" (Title/Abstract) OR asthmatic (Title/Abstract) OR wheez (Title/Abstract) OR bronchial * (Title/Abstract) OR "obstructive lung disease *" (Title/Abstract))

OR ("renal insufficiency, chronic" (MeSH) OR "chronic renal insufficiency" (Title/Abstract) OR "chronic kidney failure" (Title/Abstract) OR "chronic renal failure" (Title/Abstract) OR "chronic renal disease *" (Title/Abstract) OR "chronic kidney disease *" (Title/Abstract) OR "chronic kidney disorder *" (Title/Abstract)] CKD (Title/Abstract) OR ESRD (Title/Abstract) OR CRD (Title/Abstract) OR "chronic kidney insufficiency" (Title/Abstract))

OR ("pulmonary disease, chronic obstructive" (MeSH) OR "chronic obstructive pulmonary disease *" (Title/Abstract) OR "chronic bronchitis" (Title/Abstract) OR COPD (Title/Abstract) OR "chronic obstructive airway disease" (Title/Abstract) OR "chronic airflow obstruction" (Title/Abstract) OR "chronic obstructive lung disease" (Title/Abstract) OR emphysema (Title/Abstract))

OR ("diabetes mellitus" (MeSH) OR "diabetes mellitus" (Title/Abstract) OR "diabetes mellitus, type 2" (MeSH) OR "diabetes mellitus type 2" (Title/Abstract) OR "insulin resistance" (MeSH) OR "insulin resistance" (Title/Abstract) OR DMII (Title/Abstract) OR DM2 (Title/Abstract) OR IDDM (Title/Abstract) OR NIDDM (Title/Abstract) OR "noninsulin dependent" (Title/Abstract) OR "impaired glucose tolerance" (Title/Abstract))

AND ("self-management" (MeSH Terms) OR self manag (Title/Abstract) OR self manageable (Title/Abstract) OR self management (Title/Abstract) OR self manage (Title/Abstract) OR self manageable (Title/Abstract) OR self managed (Title/Abstract) OR self manager (Title/Abstract) OR self managerial (Title/Abstract) OR self managers (Title/Abstract) OR self manages (Title/Abstract) OR self managing (Title/Abstract) OR "self care" (MeSH Terms) OR self care (Title/Abstract) OR self caring (Title/Abstract) OR "health education" (MeSH Terms) OR "patient education as topic" (MeSH Terms) OR "patient education" (Title/Abstract) OR "behavior therapy" (MeSH Terms) OR "behavior therapy" (Title/Abstract) OR "behavior therapy" (Title/Abstract) OR self monitor (Title/Abstract) OR self monitor's (Title/Abstract) OR self monitorable (Title/Abstract) OR self monitored (Title/Abstract) OR self monitoring (Title/Abstract) OR self monitors (Title/Abstract) OR self-administration (Title/Abstract) OR self- medication (Title/Abstract) OR "action plan *" (Title/Abstract) OR patient centered (Title/Abstract) OR patient centerdness (Title/Abstract) OR patient centeredness (Title/Abstract) OR patient centering (Title/Abstract) OR patient centrality (Title/Abstract) OR patient centered (Title/Abstract) OR "patient centered approach" (Title/Abstract) OR patient centredness (Title/Abstract) OR patient centric (Title/Abstract) OR patient centricity (Title/Abstract) OR patient centring (Title/Abstract) OR patient centrism (Title/Abstract) OR patient focus (Title/Abstract) OR patient

Focused (Title/Abstract) OR patient focusing (Title/Abstract) OR patient focused (Title/Abstract) OR empowerment (Title/Abstract) OR "self efficacy" (Title/Abstract) OR "self efficacy" (MeSH))

AND ("randomized controlled trial" [Publication Type] OR "randomised controlled trial" [Title/Abstract] OR "randomized controlled trial" (Title/Abstract) OR "controlled clinical trial" [Publication Type] OR "clinical trial *" (Title/Abstract) OR "random allocation" (MeSH) OR "random allocation" (Title/Abstract) OR "randomly allocated" (Title/Abstract) OR "evaluation studies"

(Publication Type) OR "evaluation studies" (Title/Abstract)] OR "evaluation study" (Title/Abstract) OR "intervention studies" (Title/Abstract) OR "intervention study" (Title/Abstract) OR RCT (Title/Abstract)

NOT (pediatric * OR pediatric * OR children OR child) Limits: publication date: 2008 -2019 ("2008" (Date – Publication): "2019" (Date – Publication))

References

- 1. Davis, R.; Campbell, R.; Hildon, Z.; Hobbs, L.; Michie, S. Theories of behaviour and behaviour change across the social and behavioural sciences: A scoping review. *Health Psychol. Rev.* **2015**, *9*, 323–344.
- Painter, J.E.; Borba, C.P.C.; Hynes, M.; Mays, D.; Glanz, K. The use of theory in health behavior research from 2000 to 2005: A systematic review. *Ann. Behav. Med.* 2008, *35*, 358–362.
- Craig, P.; Dieppe, P.; Macintyre, S.; Michie, S.; Nazareth, I.; Petticrew, M. Developing and evaluating complex interventions: The new Medical Research Council guidance. *BMJ* 2008, 337, doi:10.1136/bmj.a1655.
- Dalgetty, R.; Miller, C.B.; Dombrowski, S.U. Examining the theory-effectiveness hypothesis: A systematic review of systematic reviews. *Br. J. Health Psychol.* 2019, 24, 334–356.
- 5. Riegel, B.; Jaarsma, T.; Stromberg, A. A middle-range theory of self-care of chronic illness. *ANS Adv. Nurs. Sci.* **2012**, *35*, 194–204.
- Riegel, B.; Jaarsma, T. Self-care in long term conditions: Old news or new thinking? Int. J. Nurs. Stud. 2019, 90, doi:10.1016/j.ijnurstu.2019.01.008.
- Prestwich, A.; Sniehotta, F.F.; Whittington, C.; Dombrowski, S.D.; Rogers, L.; Michie, S. Does theory influence the effectiveness of health behavior interventions? Meta-analysis. *Health Psychol.* 2014, 33, 465– 474.
- Hastings, J.; Michie, S.; Johnston, M. Theory and ontology in behavioural science. *Nat. Hum. Behav.* 2020, 4, 226.
- Eccles, M.; Grimshaw, J.; Walker, A.; Johnston, M.; Pitts, N. Changing the behavior of healthcare professionals: The use of theory in promoting the uptake of research findings. *J. Clin. Epidemiol.* 2005, 58, 107–112.
- Abraham, C.; Sheeran, P.; Johnston, M. From health beliefs to self-regulation: Theoretical advances in the psychology of action control. *Psychol. Health* 1998, 13, 569–591.
- 11. Stewart, D.; Klein, S. The use of theory in research. Int. J. Clin. Pharm. 2016, 38, 615-619.
- Riegel, B.; Westland, H.; Iovino, P.; Barelds, I.; Slot, J.B.; Stawnychy, M.A.; Osokpo, O.; Tarbi, E.C.; Trappenburg, J.C.; Vellone, E.; et al. Characteristics of self-care interventions for patients with a chronic condition: A scoping review. *Int. J. Nurs. Stud.* 2020, 103713, doi:10.1016/j.ijnurstu.2020.103713.
- Arksey; H; O'Malley, L. Scoping studies: Towards a methodological framework. *Int. J. Soc. Res. Methodol.* 2005, *8*, 19–32.
- 14. Goodman, R.A.; Posner, S.F.; Huang, E.S.; Parekh, A.K.; Koh, H.K. Defining and measuring chronic conditions: Imperatives for research, policy, program, and practice. *Prev. Chronic Dis.* **2013**, *10*, E66.
- Mahdizadeh, M.; Peymam, N.; Taghipour, A.; Esmaily, H.; Mahdizadeh, S.M. Effect of health education program on promoting physical activity among diabetic women in Mashhad, Iran: Applying social cognitive theory. J. Res. Health Sci. 2013, 13, 90–97.
- 16. Olson; A, E.; McAuley, E. Impact of a brief intervention on self-regulation, self-efficacy and physical activity in older adults with type 2 diabetes. *J. Behav. Med.* **2015**, *38*, 886–898.
- 17. Shi, Q.; Ostwald, S.K.; Wang, S. Improving glycaemic control self-efficacy and glycaemic control behaviour in Chinese patients with type 2 diabetes mellitus: Randomised controlled trial. *J. Clin. Nurs.* **2010**, *19*, 398–404.
- Thoolen, B.J.; De Ridder, D.; Bensing, J.; Gorter, K.; Rutten, G. Beyond good intentions: The role of proactive coping in achieving sustained behavioural change in the context of diabetes management. *Psychol. Health* 2009, 24, 237–254.
- 19. Wu, S.F.; Lee, M.-C.; Liang, S.; Lu, Y.-Y.; Wang, T.-J.; Tung, H.-H. Effectiveness of a self-efficacy program for persons with diabetes: A randomized controlled trial. *Nurs. Health Sci.* **2011**, *13*, 335–343.
- **20.** Rujiwatthanakorn, D.; Panpakdee; Malathum, P.; Tanomsup, S. Effectiveness of a self-management program for Thais with essential hypertension. Pacific Rim International Journal of Nursing Research, **2011**, *15*: 97–110.

- Vibulchai, N.; Thanasilp, S.; Preechawong, S. Randomized controlled trial of a self-efficacy enhancement program for the cardiac rehabilitation of Thai patients with myocardial infarction. *Nurs. Health Sci.* 2016, 18, 188–195.
- Steurer-Stey, C.; Storch, M.; Benz, S.; Hobi, B.; Steffen-Bürgi, B.; Steurer, J.; Puhan, M.A. Motivational training improves self-efficacy but not short-term adherence with asthma self-management: A randomized controlled trial. *Prim. Health Care Res. Dev.* 2015, *16*, 32–41.
- Michie, S.; Johnston, M.; Francis, J.; Hardeman, W.; Eccles, M. From Theory to Intervention: Mapping Theoretically Derived Behavioural Determinants to Behaviour Change Techniques. *Appl. Psychol.* 2008, 57, 660–680.
- 24. Prochaska, J.; Diclemente, C.C. *The Transtheoretical Approach: Crossing the Traditional Boundaries of Therapy;* Dow Jones/Irwin: Homewood, CA, USA, 1984.
- 25. West, R. Time for a change: Putting the Transtheoretical (Stages of Change) Model to rest. *Addiction* **2005**, *100*, 1036–1039.
- Dombrowski, S.U.; Sniehotta, F.F.; Avenell, A.; Coyne, J.C. Current issues and future directions inPsychology and Health: Towards a cumulative science of behaviour change: Do current conduct and reporting of behavioural interventions fall short of best practice? *Psychol. Health* 2007, *22*, 869–874.
- 27. Michie, S.; Johnston, M.; Abraham, C.; Lawton, R.; Parker, D.; Walker, A. Making psychological theory useful for implementing evidence based practice: A consensus approach. *Qual. Saf. Health Care* 2005, *14*, 26.
- 28. Michie, S.; van Stralen, M.M.; West, R. The behaviour change wheel: A new method for characterising and designing behaviour change interventions. *Implement. Sci.* **2011**, *6*, 42.
- 29. Michie, S.; Atkins, L.; West, R. *The Behaviour Change Wheel: A Guide to Designing Interventions*; Silverback Publishing: Sutton, UK, 2014.
- Jaarsma, T.; Strömberg, A.; Dunbar, S.; Fitzsimons, D.; Lee, C.; Middleton, S.; Vellone, E.; Freedland, K.E.; Riegel, B. Self-care research: How to grow the evidence base? *Int. J. Nurs. Stud.* 2020, 105, 103555.

Publisher's Note: MDPI stays neutral with regard to jurisdictional claims in published maps and institutional affiliations.



© 2020 by the authors. Licensee MDPI, Basel, Switzerland. This article is an open access article distributed under the terms and conditions of the Creative Commons Attribution (CC BY) license (http://creativecommons.org/licenses/by/4.0/).