Running head: Lets act for SUD-MDD

LETS Act: a behavioral activation treatment for substance use and

depression

Comorbid Substance Use Disorder (SUD) and Major Depressive Disorder (MDD)

depressive disorder (MDD; Chen et al., 2013; SAMHSA, 2011). This comorbidity is associated

Individuals with a substance use disorder (SUD) often meet criteria for comorbid major

with a number of negative consequences, including low rates of substance use treatment

completion (McKay et al., 2002; Tate et al., 2004; Thase et al., 2001), greater relapse rates

(Davis et al., 2010; Glasner-Edwards et al., 2009; Hasin et al., 2002; Najt et al., 2011), shorter

post treatment abstinence durations (Greenfield et al., 2012; Greenfield et al., 1998), lower levels

of treatment motivation and compliance (Lejoyeux and Lehert, 2011), and elevated suicide risk

(Blanco et al., 2012). In addition, compared to individuals with either disorder alone, individuals

with SUD-MDD comorbidity are two times more likely to report an unmet need for mental

health care (Chen et al., 2013).

Current Treatment Options for SUD-MDD

A number of treatments have been developed to address concurrent SUD-MDD,

including interpersonal therapy (Markowitz et al., 2008), CBT with or without pharmacotherapy

(for review, see Hides et al., 2010), and CBT with motivational interviewing (for review, see

Riper et al., 2014). Reports on the effectiveness of these interventions have been mixed, with

small overall effect size estimates for both substance use and depression outcomes (Riper et al.,

2014). Long term improvement in both depression and substance use up to 6 months (Lydecker

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et al., 2010), and 12 months (Kay - Lambkin et al., 2009) have been reported, with a few studies reporting inferior long term outcomes when compared to treatment as usual (TAU; (Glasner-Edwards et al., 2007; Lydecker et al., 2010) and twelve steps therapy (Brown et al., 2006).

Although further empirical evaluation of these approaches is warranted, it is important to note that they are not specifically designed for integration into real-world, substance use treatment contexts, where the majority of low-income substance users with co-occurring mental illness receive care (Clark et al., 2007). Improving continuity of care for individuals with SUDs and co-occurring psychiatric disorders is an important priority (for a review, see McCallum et al., 2015). A key element of improving services for this population is developing interventions to address co-occurring psychiatric disorders that can actually be delivered in substance use treatment. In standard substance use treatment settings, brief, parsimonious treatments and adaptations for low literacy are essential. Traditional substance use treatment programs often require a short period of stay, with detoxification and short-term treatments (< 30 days) being more readily available than long-term treatments (>30 days) in state agencies and hospitals (SMAHSA, 2015). In addition, providers within resource-limited substance use treatment settings often lack specialized mental health training, with few resources to deliver more elaborate mental health interventions (McCoy et al., 2002). Further, there is evidence that some intervention components, such as cognitive restructuring within CBT, may be less appropriate for patients with cognitive deficits resulting from chronic substance use and/or depression (Aharonovich et al., 2006). Taken together, of the existing available treatments for concurrent substance use and depression, results have been mixed, with few indicating feasibility and acceptability for integration into standard substance use treatment settings.

Targeting Positive Reinforcement

Targeting positive reinforcement may be a parsimonious approach to treating SUD-MDD comorbidity. Reinforcement theories of depression state that depression develops and is maintained by low levels of response-contingent positive reinforcement (RCPR), featured by a loss of positive reinforcement from healthy behaviors, and/or a lack of engagement in or perceived pleasure from these behaviors (Lewinsohn & Graf, 1973; Lewinsohn, 1974). Further, according to the matching law (Hernstein, 1961, 1970), depression is a function of relative rates of reinforcement from depressive behaviors vs. healthy, non-depressed behaviors. Matching law, when applied to understanding depression, suggests that the frequency of depressed behavior (vs. healthy, non-depressed alternatives) is proportionate to the relative value of the reinforcement derived from depressed vs. healthy, non-depressed behavior.

Similarly, behavioral economic models of substance use suggest that substance use is a function of available reinforcement in one's environment, such that substance use is most likely when there are minimal constraints on drugs and substantial constraints on access to valued substance-free reinforcement (Vuchinich and Tucker, 1988), with empirical evidence supporting these models (Correia *et al.*, 2005; Murphy *et al.*, 2005). These theoretical foundations suggest a shared vulnerability across individuals with substance use and depression for lower rates of reinforcement for healthy alternative behaviors, supporting the utility of an approach that targets positive reinforcement in one's environment.

Behavioral Activation as a Treatment for Comorbid SUD-MDD

Behavioral activation (BA) is particularly relevant in this context. BA treatments for depression specifically target reinforcement (Lejuez *et al.*, 2001, 2011; Martell *et al.*, 2001, 2010). The effectiveness of BA for depression has received widespread support across multiple

patient populations (Dimidjian et al., 2006; Dobson et al., 2008; Ekers et al., 2014; Jacobson et al., 1996; Mazzucchelli et al., 2009). Moreover, the Brief Behavioral Activation Treatment for Depression (BATD; Lejuez *et al.*, 2001, 2011) is particularly amenable to dissemination and implementation in a range of resource-limited contexts (Strachan *et al.*, 2012), in conjunction with comorbid conditions (Collado *et al.*, 2014; Pagoto *et al.*, 2008; Hopko *et al.*, 2005), and by a range of provider levels, including paraprofessionals (Ekers et al., 2011; Magidson et al., 2015). Given the theoretical and practical applicability of BA for individuals with comorbid MDD-SUD, in the following sections we provide a detailed description of a BA treatment for comorbid SUD-MDD, the Life Enhancement Treatment for Substance Use (LETS ACT). The core components of LETS ACT and suggested session-to-session content are described in detail, along with example treatment forms.¹

The Life Enhancement Treatment for Substance Use (LETS ACT)

Based upon the core components of BATD, The Life Enhancement Treatment for Substance Use (LETS ACT; Daughters *et al.*, 2008; Magidson *et al.*, 2011) was developed to address concurrent SUD-MDD based upon the theoretical foundations of behavioral reinforcement theories of depression (Lewinsohn, 1974; Lewinsohn and Graf, 1973), and behavioral economic theories of substance use (Vuchinich and Tucker, 1988). LETS ACT simultaneously targets positive reinforcement—a core mechanisms underlying both substance use and depression. Components of BATD have been modified to meet the needs of individuals with comorbid SUD-MDD who are concurrently receiving substance use treatment. More specifically, complex concepts and forms have been modified or eliminated, thereby reducing client burden. Negative affect and craving surrounding substance use is a primary risk factor

¹ A copy of the full treatment manual for integration into residential or outpatient settings can be accessed by contacting the first author.

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introduced in the treatment rationale, is presented in a way that is applicable across drug types, and can be tailored to the individual. LETS ACT adopts a small group treatment model, which is preferable to individual-based treatments in terms of utilizing limited therapeutic resources in substance use treatment settings, while still maintaining a reasonable therapist-client ratio compared to large group treatment settings. In addition, LETS ACT is appropriate for individuals with cognitive deficits or a low education level, having adopted terminology at a fifth-grade reading level for all treatment components, which is designed to improve comprehension of the treatment principles, as well as increase the ease of between-session homework completion.

Treatment Structure. LETS ACT is designed to have a flexible number of sessions (5-8) to accommodate for flexible distribution among a range of substance use treatment facilities with varying levels of resources. The 5-session version captures all key components, while the 8-session version allows for extended sessions to help the clients consolidate key concepts. The number and frequency of sessions can be easily adjusted based on individual patient needs and the specific clinical context. We also compiled all study related forms into one pocket sized booklet for patients in order to accommodate treatment compliance and homework completion. In the remaining sections, we will highlight the specific LETS ACT treatment components (see Table 1 for an overview) and include examples of treatment material (Figures 1-3).

Treatment Rationale. LETS ACT, given its strong theoretical foundation, uses the treatment rationale as an intervention component and framework throughout treatment. As illustrated in **Figure 1**, the treatment begins with a visual depiction of its rationale--targeting the link between mood, substance use, and behavior, with a focus on identifying goal-driven, substance-free forms of positive reinforcement. The exercise begins by discussing client's experience of difficult emotions (e.g., hopelessness, shame, stress) and physical sensations (e.g.,

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muscle tension, sweaty palms), negative urges in response to difficult emotions and physical sensations (e.g. isolation, substance use), and subsequent negative behavior (e.g., lay in bed, substance use). Importantly, this can be tailored across different drug classes. The therapist then elicits feedback from the clients as to where they believe they can break the cycle. The purpose of the discussion is to help the client appreciate that it is difficult to suppress our emotions and urges, and therefore, it is most helpful to try and intervene by changing our behavior (i.e., our response to negative urges). Clients are asked to list substance-free activities they currently or in the past have engaged in and find rewarding (e.g., take a walk, spend time with family), and what are their feelings associated with those events. This positive cycle is then illustrated, how when we begin to engage in rewarding activities and begin to feel the associated positive emotions (e.g., relaxed, accomplished, happy), we then are more likely to want to continue to engage in these activities. The therapist acknowledges that although negative emotions and urges will continue to exist, by engaging in healthy and rewarding behavior, the negative urges will soon be replaced with urges to engage in these more healthy and rewarding behaviors in response to difficult emotions and physical sensations. This "positive cycle" is depicted to patients as the focus of the treatment--to identify and engage in rewarding activities. The Treatment Rationale is illustrated at the beginning of each session, with clients sharing difficult emotions they have recently experienced and their associated urges and behaviors, with an emphasis on their response to those urges. A visual representation of the cycle either on a white board or on paper is recommended during sessions (see Figure 1). A copy of the cycle is provided to the client in the treatment workbook.

Insert Figure 1

Daily Monitoring. Following the treatment rationale, the focus becomes behavioral monitoring, which is a foundational component of a behavioral activation-based intervention. Clients are asked to not change anything in their daily routine, but rather first get a sense of regular activities, and the enjoyment and importance associated with these activities. The purpose of this practice is to offer the clients an opportunity to improve their understanding of the pattern of their daily activities. As a homework assignment, the clients are asked to record their daily activities on an hourly basis in the treatment workbook, as well as how important and enjoyable they found those activities on a scale from one to ten. In the Daily Monitoring review in sessions two and three, clients reflect on activities they recorded that were of high and low importance and/or enjoyment. The therapist highlights the value of having a balance of activities that are high on importance and/or enjoyment so as to experience feelings of both accomplishment and pleasure. The Daily Monitoring exercise allows the therapists to discuss the utility of identifying activities within important life areas and values, such that activities that are rated low on both constructs are noted as opportunities to replace with new value driven activities that they will find more rewarding.

Life Areas, Values, and Activities (LAVA). Once clients have monitored their pattern of current daily activities, the focus turns to identifying new value-driven activities to schedule into one's day across a range of life areas. Clients are encouraged to identify values across a range of areas of their life, including relationships, physical health, emotional health, education/work, spirituality, and hobbies/recreation. Clients first identify up to three life areas that are important to them. The therapist then discusses the concept of values, defined as an ideal, quality, or strong belief in certain way of living. As illustrated in **Figure 2**, within each life area the client is asked

to fill in the blank for "It is important to me...". For example, within relationships, a client may indicate "It is important to me to be a reliable parent". After identifying at least one value in each of the clients' three chosen life areas, the therapist will introduce the concept of "value-driven activities", defined as the behaviors the clients can engage in that are in line with their values. The therapist indicates the importance of activities being specific, measurable, and attainable. An example activity for the value "being a reliable parent" might be "picking my son up at school on time at 2:30." Therapists highlight the importance of scheduling *value-driven* activities that are substance-free and most likely to increase natural positive reinforcement. As a homework assignment, the clients will identify approximately three activities for each of the three life area values they identified during group.

Insert Figure 2

Daily Plan. Once clients generate a list of values and activities that are important to them, the next step is to concretely "map" these values and activities into their everyday lives. This exercise is called the Daily Plan (Figure 3). Through practice, the clients will develop the skills to generate specific value-driven activities that he/she would like to complete each day. The clients will be prompted to plan activities in advance (e.g., the night before). Unlike Daily Monitoring in which the clients record every single activity they completed in a certain day, in the Daily Plan, the clients schedule value-driven activities. Similar to Daily Monitoring, at the end of each day, the clients will record how many planned activities they were able to complete, as well as a rating of the importance and enjoyment of each activity. The primary goal for this practice is to establish systematic and routine contact with positive reinforcement in one's daily

life, with the goal that individuals will identify new positive activities and maintain involvement in these activities post treatment.

Insert Figure 3

Contracts. Contracts have been widely used to improve treatment outcomes within substance use treatment settings (Petry *et al.*, 2004). In LETS ACT, the purpose of contracts is to utilize healthy social resources that are available to the clients, with the goal of facilitating completion of scheduled value-driven, substance-free activities. For example, a client may be asked to identify one person he/she would like to contract with, list up to three helpful and supportive behaviors that person can do, and work with that individual to ask for the help the client will need. The contracted behaviors are designed to facilitate healthy, positive behaviors (e.g., catch the bus to work on time, go to a movie when bored). Depending on the client's readiness to ask a specific individual for help, the contract may also be used as a way to brainstorm supportive resources, as well as ways in which the identified person(s) could support the client's treatment goals. Nevertheless, if sharing the contract plan with their target person is not in line with the client's readiness, the client may opt out. In this case, the therapist can brainstorm with the clients to make sure that when they are ready to implement the contract, they will be equipped with sufficient resources and skills.

Relaxation and mindfulness exercise. A final treatment component is teaching skills for relaxation and/or mindfulness. Introducing a specific healthy coping strategy is also particularly useful for clients who struggle to identify other positive activities in their life. LETS ACT was first implemented using diaphragmatic breathing as the primary relaxation component (see

Daughters *et al.*, 2008; Magidson *et al.*, 2011). The most recent refinements of LETS ACT, presented here, include a brief mindfulness exercise to provide clients with a specific coping strategy to tolerate urges. The exercise guides clients in session to pause, tune into their breath and bodily sensations, and increase their present moment awareness. The inclusion of a mindfulness exercise in the intervention was guided by previous research showing the effects of mindfulness on depressive symptoms and reducing craving among individuals with SUDs (Witkiewitz & Bowen, 2010). In LETS ACT, regular practice of the relaxation and/or mindfulness exercises is encouraged and directly incorporated into activity scheduling. It is also encouraged as an immediate option to cope with overwhelming negative urges.

Insert Table 1

LETS ACT Treatment Accommodations

As demonstrated in the treatment description, the number of LETS ACT sessions can be adjusted based on the treatment setting and/or the clients' progress throughout the course of treatment. Additionally, sessions can be added if resources are available, which may be particularly relevant for further aiding the practice of the *Treatment Rationale*, *LAVA* and *Daily Plans*. Depending on the length and structure of the treatment, the therapist has the flexibility to decide which component(s) to emphasize based on the flow of the treatment. In addition to flexible session numbers, the practice of each treatment component can be adjusted according to each individual's strengths and limitations. For clients who face challenges identifying values or understanding the concept of values, we have adapted language to use metaphors to describe values (i.e., steps, driving directions) as well as using the term "goal" if a value is difficult to

comprehend. For clients who may not have had stable sources of response contingent positive reinforcement in their lives, we have found it useful to focus on making small changes in an immediate context to interact differently in one's environment (e.g., participating more in NA/AA groups, writing a letter to a loved one), and emphasize how small shifts can make significant changes in obtaining positive reinforcement; however, we also try to directly acknowledge in the treatment how prior experiences, such as being faced with punishment or low levels of positive reinforcement, will serve as barriers to re-engaging in some activities.

Empirical Support for LETS ACT

LETS ACT has been conducted and evaluated in a number of substance treatment settings, with the first evaluation in a randomized clinical trial (RCT) within an inpatient substance use treatment center. LETS ACT demonstrated medium to large effects on depressive symptoms, anxiety symptoms, and perceived reward from activities at post-treatment compared to patients receiving treatment as usual (Daughters *et al.*, 2008). A second RCT comparing LETS ACT to a control condition in an inpatient substance use treatment setting demonstrated large effect sizes for LETS ACT in reducing treatment dropout and increasing levels of behavioral activation compared to a contact time matched control condition (Magidson *et al.*, 2011). LETS ACT has also been integrated with a single-session HIV medication adherence to address SUD-MDD comorbidity and improve HIV medication adherence among HIV-infected individuals (Daughters *et al.*, 2010; Magidson *et al.*, 2014). The long-term outcomes associated with LETS ACT were recently examined among patients entering substance use treatment, with a specific focus on the role of the proposed mechanism of action, environmental reward. Over the 1-year follow-up period, 68.8% of LETS ACT participants provided negative urine screens compared to 52.8% of a contact matched control group (OR = 0.16, *SE* = .07, *p* = .03, CI: .009, .313). A serial

multiple mediation model (Hayes, 2012) indicated that compared to a contact time matched supportive counseling control condition, LETS ACT had a significant indirect effect on the likelihood of post treatment substance use through both environmental reward and depressive symptoms (Ind2 = -.088, CI: -.2569, -.0098). More specifically, the effect of LETS ACT on greater increases in environmental reward translated into a reduction in depressive symptoms, which in turn led to a greater likelihood of a post treatment negative urine screen (Daughters *et al.*, 2016). Most recently, a smartphone enhanced version of LETS ACT has been developed to increase homework compliance and treatment engagement outside of clinician administered sessions (Maltalenas *et al.*, 2015).

Discussion and Future Directions

In this paper, we have presented LETS ACT, a behavioral activation-based treatment for comorbid SUD-MDD. We believe its straightforward nature and flexibility make it particularly amenable to delivery in substance use treatment facilities with limited levels of resources, where many patients with comorbid SUD-MDD and a range of SUDs receive treatment. We hope that by providing the treatment manual and treatment description in this paper that it facilitates the use of LETS ACT in a variety of clinical contexts. Although there is accumulating empirical support for this approach, important future questions remain regarding the integration of LETS ACT with other psychosocial and pharmacological intervention approaches, particularly to understand how LETS ACT could be integrated with the use of medication assisted treatments and tailored for patients with opioid use disorders. Ultimately our hope in this program of research is to increase the dissemination and implementation of evidence-based interventions for this prevalent and difficult to treat comorbidity.

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Figure 1. A (a) Blank and (b) Patient example of the treatment rationale diagram. The therapist works sequentially through steps 1-5. The upper circle represents the "negative cycle", and the lower cycle represents the "positive cycle," which is the focus of the LETS ACT treatment.

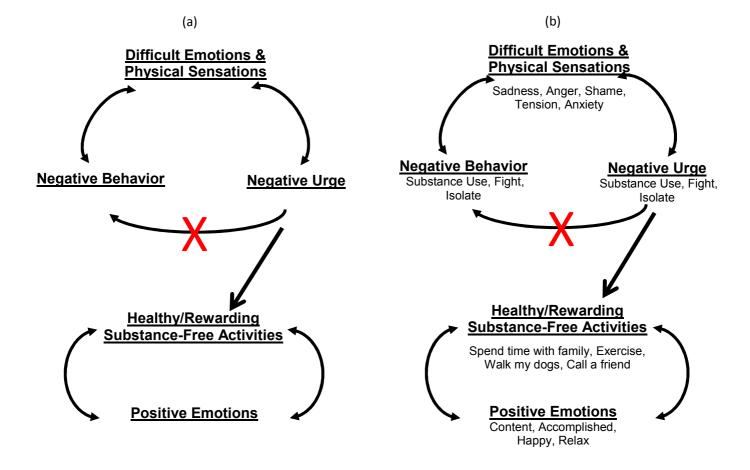


Figure 2. A (a) Blank and (b) Client example of the LAVA form for the Life Area 'Relationships'.

Life Area: Relationships	Life Area: Relationships					
Values: It is important to me to	Activities					
Life Area: Relationships	Life Area: Relationships					
Values: It is important to me to	Activities					
To be a responsible father.	Activities 1. Read a book to my daughter each night before bed.					
·	Read a book to my daughter each					
To be a responsible father. Re-establish my relationship with my	Read a book to my daughter each night before bed.					
To be a responsible father. Re-establish my relationship with my	Read a book to my daughter each night before bed.					

Figure 3. A blank and client example of the Daily Plan.

Circle the day & write the date:												
М	Т	W	Th	Fr	Sa	Su		Date:				
Tod	ay's	Life A	Areas	;:								
Tod	ay's	Valu	es:									
1.												
2.												
3.												
Tiı	me				Act	ivitie	es	;		E 1-10	 1-10	С
												Y/N
												Y/N
												Y/N
												Y/N
												Y/N
												Y/N
												Y/N
												Y/N
												Y/N
		,		To	tal A	ctivi	iti	ies Comp	leted	:		
F =	Fnic	vmei	nt: I =	Imno	ortai	nce:	C	= Comple	eted?	(circle	Y or N	

м(т)	W Th Fr Sa Su Date: April 18	3 th		
Life Areas	Relationships, Spirituality			
Today's V	alues:			
1. To be a	responsible father			
2. Feel in:	ner peace			
3.				
Time	Activities	E 1-10	 1-10	С
7:30am	Drive my kids to school before work	5	9	ØΝ
1:30pm	Pray for 10 minutes	7	8	Ø١
6:00pm	Help my kids with school work	4	10	Y/ ©
8:00pm	Pray for 10 minutes	7	8	Ø١
				Y/N
				1/18

Table 1. LETS ACT 6-Session Schedule.

Session 1	Treatment Rationale
	Daily Monitoring
	Mindfulness Rationale and Practice
	Homework: Daily Monitoring Form
Session 2	Treatment Rationale
	Review Homework (Daily Monitoring)
	Life Areas, Values, and Activities (LAVA)
	Mindfulness Practice
	Homework: Daily Monitoring Form; Add Activities to Life Areas and
	Values
Session 3	Treatment Rationale
	Review Homework (Daily Monitoring and LAVA Activities)
	Life Area, Values, and Activities (LAVA)
	Daily Plans
	Mindfulness Practice
	Homework: Complete Daily Plan; Finish any remaining LAVA
Session 4	Treatment Rationale
	Review Homework (Daily Plans, LAVA)
	Contracts
	Daily Plans
	Mindfulness Practice
	Homework: Complete Daily Plan and Contracts
Session 5	Treatment Rationale
	Review Homework (Daily Plans, Contracts)
	Daily Plans
	Mindfulness Practice
	Homework: Complete Daily Plan
Session 6	Treatment Rationale
	Review Homework (Daily Plans)
	Post Treatment use of LAVA and Daily Plans
	Review and Summarize Overall Treatment Progress
	Mindfulness Practice