

---

# Contents

---

<b>Preface I by Michael M. Miller</b> .....	VII
<b>Preface II by Kathleen Grant</b> .....	IX
<b>Contributors</b> .....	XI
<b>I. The Twelve-Step Program, 1</b> <i>Thomasina Borkman Section Editor</i>	
<i>Chapter 1</i>	
<b>Introduction: The Twelve-Step Program Model of AA</b> .....	3
<i>Thomasina Borkman</i>	
<i>Chapter 2</i>	
<b>The Twelve-Step Recovery Model of AA: A Voluntary Mutual Help Association</b> .....	9
<i>Thomasina Borkman</i>	
1. Essentials of Self-Help/Mutual Aid .....	10
2. Methodologies and Frameworks of Social Science .....	11
3. Recovery .....	13
3.1. Basic Beliefs About Alcoholism .....	14
3.2. Becoming Abstinent .....	14
3.3. Identity Changes: From Drinking Nonalcoholic to Recovering Alcoholic .....	15
3.4. Practicing the Program .....	18
3.5. Long-Term Recovery .....	22
4. Service .....	23
5. Unity .....	25
5.1. Groups and Their Meetings .....	26
5.2. Fellowship .....	28
5.3. Principles of Organization: Traditions and Concepts .....	29
6. Conclusion .....	30

## Chapter 3

<b>Twelve Defining Moments in the History of Alcoholics Anonymous . . .</b>	<b>37</b>
<i>William L. White and Ernest Kurtz</i>	
1. Introduction . . . . .	37
2. Jung's Refusal . . . . .	39
3. A "Hot Flash" and Failed Evangelism . . . . .	41
4. Panic at the Mayflower Hotel . . . . .	42
5. Professionalism: AA's First Temptation . . . . .	43
6. Who Can Be an AA Member? . . . . .	44
7. A Rich Man's Warning About Money . . . . .	45
8. The Split from the Oxford Group . . . . .	45
9. "Here Are the Steps We Took . . ." . . . . .	46
10. Growing Pains . . . . .	48
11. AA and the Business of Alcoholism Treatment . . . . .	48
12. The NCEA Affair . . . . .	51
13. "Bill's Damned Traditions" . . . . .	52
14. Alcoholics Anonymous and Alcoholism Treatment: Separate and Distinct . . . . .	53

## Chapter 4

<b>The Impact of AA on Professional Treatment . . . . .</b>	<b>59</b>
<i>Valerie J. Slaymaker and Timothy Sheehan</i>	
1. The Integration of AA into Professional Treatment . . . . .	59
2. How the Twelve Steps Are Applied in Treatment . . . . .	61
3. Effectiveness of Twelve-Step-Based Professional Care . . . . .	63
4. AA's Role Following Treatment . . . . .	66
5. Summary . . . . .	67

## Chapter 5

<b>The Impact of Alcoholics Anonymous on Other Substance Abuse- Related Twelve-Step Programs . . . . .</b>	<b>71</b>
<i>Alexandre B. Laudet</i>	
1. Introduction . . . . .	71
2. Twelve-Step Fellowships Focusing on Recovery from Drug Dependence . . . . .	72
2.1. Narcotics Anonymous (NA) . . . . .	73
2.2. Other Drug-Related Twelve-Step Recovery Fellowships . .	74

- 2.3. Twelve-Step Addiction Recovery Fellowships  
for Special Populations ..... 75
- 3. Similarities and Differences Between AA and Drug-Recovery  
Fellowships ..... 78
  - 3.1. Meeting Format ..... 78
  - 3.2. Recovery Program ..... 79
  - 3.3. Membership and Organizational Structure ..... 79
  - 3.4. Characteristic of Membership in Twelve-Step Recovery  
Fellowships for Alcohol and Drug Dependence ..... 80
- 4. Utilization of and Experiences with Drug Recovery  
Twelve-Step Fellowships Among Drug-Dependent Populations . 82
- 5. Conclusions and Future Directions ..... 85

Chapter 6

**The Impact of AA on Non-Professional Substance**

**Abuse Recovery Programs and Sober Living Houses ..... 91**

*Douglas L. Polcin and Thomasina Borkman*

- 1. Introduction ..... 92
- 2. Social Model Recovery ..... 93
  - 2.1. Paucity of Published Literature ..... 95
- 3. Types of Social Model Recovery Programs ..... 95
  - 3.1. Neighborhood Recovery Centers ..... 95
  - 3.2. Residential Social Model Recovery Programs ..... 96
- 4. Sober Living Houses ..... 98
  - 4.1. History of California Sober Living Houses ..... 99
  - 4.2. Contemporary California Sober Living Houses ..... 100
  - 4.3. Oxford Houses ..... 102
  - 4.4. Outcome Studies on Sober Living Houses ..... 103
- 5. Conclusion ..... 106

**II. Spiritually Oriented Recovery, 109**

*Sarah E. Zemore Section Editor*

Chapter 7

**An Overview of Spirituality in AA (and Recovery) ..... 111**

*Sarah E. Zemore*

- 1. Spirituality and AA ..... 111
- 2. The Chapters, in Brief ..... 112
- 3. Common Themes ..... 115
- 4. Applications: Cautions ..... 118

*Chapter 8*

<b>The Concept of Spirituality in Relation to Addiction Recovery and General Psychiatry</b> .....	125
<i>Marc Galanter</i>	
1. The Concept of Spirituality .....	126
2. Some Physiologic Issues .....	127
3. Sociobiology .....	128
4. The Culture of Psychiatry and Psychology .....	129
4.1. The Placebo Response .....	130
4.2. Current Practice .....	131
5. Problems with Spirituality .....	132
6. Treatment Issues .....	133
6.1. Personal Meaning in Therapy .....	133
6.2. Meditation .....	134
7. Alcoholics Anonymous .....	134
7.1. AA in the Professional Context .....	135

*Chapter 9*

<b>Kickbacks from Helping Others: Health and Recovery</b> .....	141
<i>Sarah E. Zemore and Maria E. Pagano</i>	
1. Introduction .....	142
2. AA's Approach to Helping .....	143
3. Research on Helping in the General Population .....	145
4. Research on Helping and Recovery .....	148
4.1. Helping in Group Therapy and Mutual Help Groups ....	148
4.2. Helping and Recovery from Substance Abuse and Dependency .....	151
5. Helping Can Hurt (and Other Important Cautions) .....	155
6. Implications .....	162

*Chapter 10*

<b>Issues in Measuring Spirituality and Religiousness in Alcohol Research</b>	167
<i>Thomas Johnson and Elizabeth A.R. Robinson</i>	
1. Definitions of Spirituality and Religiousness .....	167
1.1. Some Definitions of Spirituality and Religion/Religiousness .....	168
1.2. Distinguishing Between Spirituality and Religiousness...	169
1.3. Dimensions of Spirituality and Religiousness.....	170
2. Other Measurement Issues .....	171

<b>Contents</b>	<b>xix</b>
2.1. Measuring Single vs. Multiple Dimensions . . . . .	171
2.2. Reliance on Self-Report . . . . .	172
2.3. Potential Confounding with Third Variables . . . . .	173
2.4. Cultural Issues . . . . .	173
3. Measures of Spirituality and Religiousness . . . . .	173
3.1. Resources . . . . .	173
3.2. Measures of Religiousness . . . . .	174
3.3. Measures of Spiritual and Religious Experience . . . . .	176
3.4. Measures of Spiritual and Religious Struggles . . . . .	178
3.5. Measures of Meaning . . . . .	179
4. Conclusions . . . . .	181

*Chapter 11*

<b>Spirituality and Health: Empirically Based Reflections on Recovery . . . .</b>	<b>187</b>
<i>Michelle J. Pearce, Clark M. Rivinoja†, and Harold G. Koenig</i>	
1. Introduction . . . . .	188
2. Empirical Review of Spirituality and Mental Health Literature . .	190
2.1. Depression . . . . .	190
2.2. Anxiety . . . . .	191
2.3. Suicide . . . . .	192
2.4. Guilt . . . . .	192
2.5. Positive Emotions . . . . .	193
2.6. Religious Coping . . . . .	194
2.7. Summary of Empirical Research . . . . .	195
3. Explanatory Mechanisms: Spirituality, Health, and Recovery in AA . . . . .	195
3.1. Social Support . . . . .	195
3.2. Community in Alcoholics Anonymous . . . . .	196
3.3. Framework for Meaning-Making and Purpose . . . . .	198
3.4. Narrative Framework for Meaning-Making in AA . . . . .	199
3.5. Psychological Coping Resource and Active Surrender . . . .	200
3.6. Control and Surrender in AA . . . . .	201
3.7. Prescribed Lifestyle Behaviors: Altruism and Forgiveness	202
3.8. Prescribed Altruistic Behavior in AA . . . . .	203
4. Summary and Conclusions . . . . .	204

*Chapter 12*

<b>Spiritual Change in Recovery . . . . .</b>	<b>209</b>
<i>Gerard J. Connors, Kimberly S. Walitzer, and J. Scott Tonigan</i>	
1. Introduction . . . . .	209
2. Defining Spirituality . . . . .	210

3. Alcoholism as a Spiritual Disease .....	211
4. Spirituality and AA .....	211
4.1. Distinguishing the Program and the Fellowship .....	211
4.2. Spiritual Beliefs in AA .....	212
4.3. The Practice of Spirituality in AA .....	215
4.4. Subjective Experiences of Spirituality in AA .....	217
4.5. Spiritual Awakening .....	219
5. Changes in Spirituality over the Course of Recovery .....	220
5.1. AA Activities in Relation to Spirituality and Outcome ...	221
5.2. Changes in Spirituality in Recovery .....	222
6. Conclusions .....	224

### Chapter 13

<b>Mindfulness and Addiction</b> .....	229
--	-----

*Sharon H. Hsu, Joel Grow, and Alan Marlatt, G.*

1. Introduction .....	229
2. Mindfulness and Addiction: History and Definitions .....	230
2.1. Definitions of Mindfulness .....	230
2.2. Mindfulness and Addiction .....	230
3. Mechanisms of Action .....	231
3.1. Examining Mindfulness Utilizing Three Different Models	231
3.2. From a Neurological Perspective .....	232
3.3. Active Ingredients in Mindfulness Meditation .....	233
4. Clinical Applications .....	235
4.1. Applications in Three Different Settings .....	235
4.2. Applications in Addiction Research .....	235
5. Mindfulness Meditation and Substance Use in an Incarcerated Population .....	236
6. Mindfulness-Based Relapse Prevention Study .....	236
7. Mindfulness Meditation and Twelve Steps .....	238
7.1. "Pure" Buddhist Meditation and Twelve Steps .....	238
7.2. Secular Mindfulness and Alcoholics Anonymous .....	240
8. Future Direction .....	244
9. A Case Study .....	245

## III. Twelve-Step Membership, 251

*Lee Kaskutas Section Editor*

### Chapter 14

<b>Introduction</b> .....	253
---------------------------	-----

*Lee Ann Kaskutas*

Chapter 15

**Epidemiology of Alcoholics Anonymous Participation** ..... 261  
*Lee Ann Kaskutas, Yu Ye, Thomas K. Greenfield,  
 Jane Witbrodt, and Jason Bond*

1. Introduction ..... 261
2. Methods ..... 264
  - 2.1. AA Membership Surveys ..... 264
  - 2.2. National Alcohol Surveys (NAS) ..... 264
  - 2.3. NIAAA’s National Epidemiological Survey on  
 Alcoholism and Related Conditions (NESARC) ..... 266
  - 2.4. Epidemiological Laboratory (EpiLab) Longitudinal  
 Treatment Surveys ..... 267
3. Results ..... 268
  - 3.1. Trends in AA Membership  
 Based on the AA Membership  
 Surveys (Table 1) ..... 268
  - 3.2. Trends in AA Membership Based on National Alcohol  
 Surveys (Table 2) ..... 269
  - 3.3. AA Engagement and Disengagement Profiles Based  
 on NESARC (Table 3) ..... 270
  - 3.4. Patterns of AA Exposure over Time Based on the  
 EpiLab Longitudinal Treatment Surveys ..... 271
4. Discussion ..... 274
  - 4.1. Demographics of AA Exposure ..... 275
  - 4.2. Specialty Treatment and AA ..... 276
  - 4.3. Abstinence and AA ..... 278
5. Summary ..... 280

Chapter 16

**Concerns About Dose and Underutilization of Twelve-Step Programs:  
 Models, Scales, and Theory that Inform Treatment Planning** ..... 283  
*Richard N. Cloud and J. B. Kingree*

1. Introduction ..... 284
2. Literature Review ..... 285
3. Scales Predicting TS Program Underutilization ..... 288
  - 3.1. Survey of Readiness for AA Participation (SYRAAP) ..... 289
  - 3.2. TS Ambivalence Scale (TSAS) ..... 289
  - 3.3. The TS Participation Expectancies Questionnaire (TSPEQ) ..... 290
  - 3.4. Negative Aspects of TS Group Scale (NATSGS) ..... 291
  - 3.5. Content Analysis of Subscale Domains ..... 292

- 4. Theories Used to Explain Dose . . . . . 292
  - 4.1. Health Seeking Explained Using the Health Belief Model. 292
  - 4.2. Motivation and Self-Determination Theory . . . . . 293
  - 4.3. Person-in-Organizational Culture Fit Theory . . . . . 294
  - 4.4. An Integrated Theory of Attendance . . . . . 295
- 5. Discussion . . . . . 296

Chapter 17

- Facilitating Involvement in Twelve-Step Programs . . . . . 303**  
*Dennis M. Donovan and Anthony S. Floyd*

- 1. Role of Twelve-Step Self-Help Groups in Substance Abuse Treatment and Recovery . . . . . 304
- 2. Effectiveness/Efficacy of Twelve-Step Self-Help Groups . . . . . 304
- 3. Twelve-Step Meeting Attendance vs. Engagement in Twelve-Step Activities . . . . . 305
- 4. Low Rates of Twelve-Step Attendance and Involvement Following Treatment as Usual . . . . . 306
- 5. Methods of Facilitating Twelve-Step Involvement . . . . . 307
  - 5.1. General Facilitation Through Program Orientation. . . . . 307
  - 5.2. Specific Facilitation Through Targeted Interventions . . . . . 308
- 6. Summary and Conclusions . . . . . 315

Chapter 18

- Twelve-Step Facilitation in Non-specialty Settings . . . . . 321**  
*John F. Kelly and Barbara S. McCrady*

- 1. Introduction . . . . . 322
- 2. Alcoholics Anonymous . . . . . 324
  - 2.1. Brief AA History and Origins . . . . . 324
  - 2.2. How Are Patients Likely to Benefit from AA Participation? 326
  - 2.3. The Twelve Steps . . . . . 327
  - 2.4. The Twelve Traditions . . . . . 331
  - 2.5. AA Meetings . . . . . 332
  - 2.6. Sponsorship and Fellowship . . . . . 334
  - 2.7. Concept of Higher Power . . . . . 335
  - 2.8. Slogans . . . . . 336
  - 2.9. Service . . . . . 337
  - 2.10. Literature . . . . . 337
- 3. Twelve-Step Facilitation (TSF) . . . . . 338
  - 3.1. TSF Clinical Strategies . . . . . 339
  - 3.2. Possible Patient and Clinician Barriers to TSF . . . . . 341
- 4. Summary and Conclusions . . . . . 342



**IV. Effectiveness and Outcome Research, 347**

*J. Scott Tonigan Section Editor*

*Chapter 19*

**Introduction** ..... 349  
*J. Scott Tonigan*

1. AA Outcomes Overview ..... 349

*Chapter 20*

**Alcoholics Anonymous Outcomes and Benefits** ..... 357  
*J. Scott Tonigan*

1. Introduction ..... 357

2. Three Eras of AA-Related Outcome Studies ..... 359

3. Empirical-Based Review of AA Effectiveness ..... 361

    3.1. Early AA Studies ..... 361

    3.2. Maturing AA Studies 1989–2001 ..... 363

    3.3. Secondary Measures of AA Outcome ..... 366

4. Conclusions ..... 369

*Chapter 21*

**Outcomes of AA for Special Populations** ..... 373  
*Christine Timko*

1. What Are Special Populations? ..... 373

2. Why Should We Study AA Outcomes in Special Populations? ... 374

3. Outcomes of AA for Women ..... 375

4. Outcomes of AA for Youth ..... 376

5. Outcomes of AA for Older People ..... 378

6. AA Outcomes for Racial and Ethnic Groups ..... 379

    6.1. African-Americans ..... 379

    6.2. American Indians ..... 380

    6.3. Hispanics ..... 381

7. AA Outcomes for Disabled Groups ..... 382

    7.1. Cognitive Impairment ..... 382

8. AA Outcomes for Individuals with Dual Substance Use and Psychiatric Disorders ..... 383

9. Summary and Directions for Future Research ..... 387

## Chapter 22

**How and Why Twelve-Step Self-Help Groups Are Effective . . . . . 393***Rudolf H. Moos*

1. Participation in Self-Help Groups and Substance Use Outcomes . 394
  - 1.1. Attendance and Substance Use Outcomes . . . . . 394
  - 1.2. Involvement and Substance Use Outcomes . . . . . 395
2. Theory-Based Explanations of Self-Help Group Outcomes . . . . . 396
  - 2.1. Social Control Theory . . . . . 396
  - 2.2. Social Learning Theory . . . . . 397
  - 2.3. Behavioral Economics or Behavioral Choice Theory . . . . . 397
  - 2.4. Stress and Coping Theory . . . . . 397
3. Probable Active Ingredients of Self-Help Groups . . . . . 398
  - 3.1. Support, Goal Direction, and Structure . . . . . 399
  - 3.2. Abstinence-Oriented Norms and Role Models . . . . . 400
  - 3.3. Engagement in Rewarding Activities . . . . . 401
  - 3.4. Building Self-Efficacy and Coping Skills . . . . . 402
4. Probable Active Ingredients of Effective Psychosocial Treatments 403
  - 4.1. Support, Goal Direction, and Structure . . . . . 404
  - 4.2. Abstinence-Oriented Norms and Role Models . . . . . 405
  - 4.3. Engagement in Rewarding Activities . . . . . 405
  - 4.4. Building Self-Efficacy and Coping Skills . . . . . 405
5. Conclusions and Future Directions . . . . . 406
  - 5.1. Personal Factors that Moderate Active Ingredients . . . . . 406
  - 5.2. Active Ingredients of SHGs and Treatment . . . . . 407
  - 5.3. Potential Detrimental Effects of Active Ingredients . . . . . 407
  - 5.4. Active Ingredients and Other Aspects of the Recovery  
Milieu . . . . . 408

## Chapter 23

**Individual and Contextual Factors That Influence AA Affiliation  
and Outcomes . . . . . 413***Michael P. Bogenschutz*

1. Introduction . . . . . 413
  - 1.1. Scope of the Chapter . . . . . 413
  - 1.2. Methodological Issues . . . . . 413
2. Factors Affecting AA Affiliation and Outcomes Related  
to AA Affiliation . . . . . 415
  - 2.1. Religiosity and Spirituality . . . . . 415
  - 2.2. Age . . . . . 416
  - 2.3. Gender . . . . . 417

<b>Contents</b>	<b>xxv</b>
2.4. Sexual Orientation .....	417
2.5. History, Type, and Setting of Treatment .....	418
2.6. Legal Status .....	419
2.7. Ethnicity .....	419
2.8. Severity .....	421
2.9. Cognitive Impairment .....	422
2.10. Comorbidity (Psychiatric and Substance Use) .....	422
2.11. Personality .....	424
2.12. Social Support .....	425
2.13. Socioeconomic Status .....	425
2.14. Motivation .....	426
2.15. Pattern of Affiliation .....	426
3. Unanswered Questions .....	427
<b>Index</b> .....	<b>435</b>