

**A proof-of-concept pilot randomized comparative trial of
brief Internet-based compassionate mind training and
cognitive-behavioral therapy for perinatal and intending to
become pregnant women**

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10 A proof-of-concept pilot randomized comparative trial of brief Internet-based compassionate
11 mind training and cognitive-behavioral therapy for perinatal and intending to become pregnant
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Abstract

Objective: Depression is a prevalent and costly mental health problem that affects women as well as their larger communities, with substantial impacts on mother and infant during childbearing years. Face-to-face care has not adequately addressed this global concern due to difficulties in scaling these resources. Internet interventions, which can provide psychological tools to those lacking adequate access, show promise in filling this void.

Method: We conducted a two-condition proof-of-concept pilot randomized trial comparing brief Internet-based Cognitive Behavioral Therapy (CBT) and brief Internet-based Compassionate Mind Training (CMT) for women who are currently pregnant, became pregnant within the last year, and intend to become pregnant in the future.

Results: We found that, while CMT and CBT demonstrated near equivalence in improving affect, self-reassurance, self-criticism, and self-compassion, CMT showed superiority to CBT in reducing depression and anxiety symptoms.

Conclusion: These findings provide a compelling initial argument for the use of CMT as an avenue for addressing problems associated with negative affect. Implications, limitations, and future directions along this line of research will also be discussed.

Trial Registration: ClinicalTrials.gov NCT02469324

Short Title: Comparative Internet-based Depression Trial

Keywords: Perinatal depression; Comparative trial; Internet-based interventions; Amazon Mechanical Turk

Key Practitioner Message:

- Currently, there is a dearth of psychological resources available to a global population of women in the perinatal period as well as women intending to become pregnant in the future.
- Since in-person providers cannot meet the need, automated Internet-based interventions can provide resources at low cost to women who would otherwise lack access.
- The current trial demonstrates the need to further assess the utility of compassion and meditation-based resources in online care of perinatal and intending to become pregnant women.

Introduction

Postpartum Depression (PPD) is a global health concern that can have profoundly negative effects on the mother and her infant. This disorder is estimated to affect 13 to 19% of new mothers in the United States (O'Hara & McCabe, 2013), and when assessing the impacts of PPD on an international scale, the global prevalence of this disorder is estimated to be as low as 1.9 and as high as 82% in developed nations and 5.2 to 74% in developing nations (Norhayati, Hazlina, Asrenee, & Emilin, 2015). Halbreich and Karkun (2006) have suggested this high degree of variability may be attributable to differences in stigma, reporting style, socioeconomic differences, and variation in biological vulnerabilities. The high variability of these statistics may additionally suggest a lack of adequate consistency in definition as well as unreliable screening tools to assess those in need of resources.

Undiagnosed and untreated mental health conditions have fiscal and health implications for the community and family members as well. There is evidence to suggest that the majority of individuals with mental health conditions do not seek care from healthcare providers, an issue that is even more ubiquitous in less developed parts of the world (Wang et al., 2007). While the human costs of untreated mental health issues are pervasive, there are substantial financial costs as well. Estimates place costs of psychological disorders upwards of \$150 billion dollars in the United States alone, including both the direct and indirect costs (US Department of Health, 2010). In regards to PPD specifically, male partners of women with PPD are themselves more likely to develop depression following childbirth (Paulson and Bazemore, 2010). With some evidence for higher rates of PPD in lower incomes areas (Yonkers, 2001), it is also possible that areas without access to other resources may be further impacted by inadequate diagnostic, prevention, and treatment resources for women with PPD.

Several therapeutic treatments have been tested for use with PPD populations. Perveen et al.'s (2013) systematic review included five randomized controlled trials (RCTs) comparing cognitive-behavioral therapy (CBT) and standard care. The authors found that two of five trials showed CBT to be superior to standard care. When the results were pooled, CBT demonstrated statistically significant reductions in relapse risk (Perveen, Mahmood, Gosadi, Mehraj, & Sheikh, 2013). Also, Interpersonal Psychotherapy (IPT), which focuses on resolution interpersonal disputes in order to lower depression symptomology, shows promise in the treatment of PPD (O'Hara, Stuart, Gorman, & Wenzel, 2000; O'Hara, 2009; Spinelli et al., 2013). Pharmacotherapy, often the frontline treatment for physicians, has shown mixed results in treating PPD (Misri et al., 2004; O'Hara & McCabe, 2013; Wisner et al., 2006). The possibility that antidepressant medication could affect the mother's milk during lactation is a complicating factor as well.

In addition to treatment studies, Clatworthy (2012) conducted a review of current preventative interventions finding that six of 11 studies showed significant reductions in PPD (Clatworthy, 2012). The authors concluded this represented evidence of the effectiveness for PPD prevention, which is inconsistent with a prior Cochrane review that found no effect of PPD prevention programs (Dennis, 2005). While women can seek in-person care to address PPD, many women across the world do not have access to in-person care providers. As such, novel methods of reaching women who are at risk or have developed PPD are currently being investigated as both adjuncts to and replacements for current face-to-face resources.

Internet interventions, which are a means of providing psychological services to individuals from around the world, show promise in helping to change behavior and alleviate mental health symptoms (Griffiths & Christensen, 2006; Muñoz et al., 2009). As there is

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3 currently a lack of mental health clinicians worldwide (Muñoz, 2010), Internet interventions may
4 provide aid to those who otherwise would not have access to psychological resources (Griffiths
5 & Christensen, 2006). From a cost standpoint, nonconsumable, or reusable interventions, are
6 fully automated and result in marginal cost per additional participant. Consumable interventions,
7 including face-to-face care, remains as expensive in terms of provider time no matter how many
8 people are treated, thus limiting access to care (Muñoz, 2010). Additionally, Kraut et al. (2004)
9 argue that Internet-based research is no more risky than face-to-face care; though different
10 ethical considerations must be taken into account (Kraut et al., 2004).

11
12 Currently, CBT for depression is the most commonly researched type of Internet
13 intervention. A review by Griffiths et al. (2010) demonstrated that six out of the eight CBT trials
14 analyzed demonstrated positive effects, with a purely psychoeducational CBT intervention
15 yielding significantly better results than an attentional control (Griffiths, Farrer, & Christensen,
16 2010). Effect sizes in prior Internet trials ranged from small to medium, with clinically depressed
17 participants showing effects from .42 to .65, while participants in prevention trials (i.e. not
18 necessarily clinical populations) have demonstrated effect sizes ranging from .30 to .53 (Griffiths
19 et al., 2010). Additionally, twenty studies on guided-CBT interventions for common mental
20 disorders have demonstrated overall comparable outcomes to in-person CBT (Andersson,
21 Carlbring, Ljótsson, & Hedman, 2013), and no evidence of harm (Ebert et al., 2016). The
22 research suggests that there is value for some form of therapist support, since unguided
23 interventions tend to lead to higher levels of dropout and smaller effect sizes (Andersson et al.,
24 2013). Many of the guided-CBT interventions reviewed have text materials, with some also
25 including video and audio.

26
27 Research supporting the utility of Internet interventions for PPD prevention and treatment
28 is more limited. Several trials have demonstrated preliminary effectiveness for prevention of
29 PPD (e.g. Barrera, Wickham, & Muñoz, 2015; Haga, Drozd, Brendryen, & Slinning, 2013;
30 Jones, Griffiths, Christensen, Ellwood, Bennett, & Bennett, 2013) as well as treatment (e.g.
31 Danaher et al., 2012; O'Mahen et al., 2013a; O'Mahen et al., 2013b). However, additional trials
32 are necessary to better understand both the utility and limitations of Internet interventions for
33 women in the perinatal period who either have or may be at risk of developing PPD. Further, as
34 Internet interventions will ultimately reach a global population, research into various types of
35 PPD prevention and treatment interventions will augment utility for a diverse group of women
36 across the world.

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38 Moreover, research suggests the feasibility of preventing depression through
39 psychological intervention (Cuijpers, van Straten, Smit, Mihalopoulos, & Beekman, 2008) and
40 pregnancy is a risk factor for developing depression. As such, offering tools to women at all
41 stages of the pregnancy process, including those contemplating becoming pregnant, may help
42 reduce suffering before it begins. Until recently the primary downside of prevention programs
43 for depression has been cost. With the advent of Internet interventions, we are able to offer
44 prevention programs that can be scaled at minimal cost (Lintvedt et al., 2013). Thus, inclusion of
45 diverse samples with respect to pregnancy status allows examination of the overall effects for
46 perinatal women as well as women who may later enter into motherhood.

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48 Several emerging psychotherapies are increasingly rooted in the scientific understanding
49 of evolved psychological processes that underpin emotion regulation through the gaining and
50 maintaining of supportive intra and interpersonal relationships (Gilbert, 2000, 2015; Keltner,
51 Kogan, Piff, & Saturn, 2014; Porges, 2007) and their interactions (Hermanto, Zuroff, Kopala-
52 Sibley, Kelly, Matos, & Gilbert, 2016). There is now very good evidence that social and
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3 affiliative behavior have a range of physiological effects (Brown & Brown, 2015; Keltner et al.,
4 2014) and practicing one aspect of affiliative behaviors such as compassion, changes
5 physiological systems (Klimecki, Leiberg, Ricard, & Singer, 2014). There are a number of
6 interventions and well-being practices that focus on harnessing and developing compassion as a
7 therapeutic target with promising effects (Kirby, 2016). As noted by Kirby (2016), Compassion
8 Focused Therapy (CFT; Gilbert, 2000, 2010 a, b) is based on evolutionary insights into brain
9 functioning with a particular focus on the critical importance of developing affiliative and
10 prosocial relationships with both oneself and others (Gilbert, 2010a, 2010b, 2015; Porges, 2007).
11 CFT utilizes a range of personal breathing, visualization, and behavioral practices that seek to
12 stimulate a range of affiliative processing systems and reduce the negative self-directed emotions
13 that are commonly set within self-criticism. These practices are called 'Compassionate Mind
14 Training' (CMT) and are derived from both established contemplative traditions and the
15 scientific study of these processes (Gilbert 2010a, 2015).
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18 The CFT model communicates the roles of one's motivation and affiliative processes in
19 the regulation of threat and other emotions. Further, this approach denotes how one can cultivate
20 these motivations and affiliative processes through addressing issues of self-criticism and shame
21 as well as engaging in affiliation building exercises and the cultivation of compassion.
22 Since depression is highly related to self-critical issues with oneself and sometimes non-
23 affiliative relations with others and self, it is critical to help mothers and their babies to build
24 more intra and inter affiliative relationships (Cree, 2010). There is good evidence that the
25 woman's preparations, both psychological and practical, before birth has an impact on
26 subsequent adjustment (Mercer, 2004). The key psychological changes for the woman is to
27 become a care provider and CMT is an intervention that specifically focuses on the cultivation of
28 caring motivation (Gilbert, 2010b, 2016). In addition, the myelinated vagus nerve of the
29 parasympathetic system is known to be linked to caring and affiliative behavior (Kogan, Oveis,
30 Carr et al., 2014) and recent research has shown that CMT significantly improves an indicator of
31 vagal tone, called heart rate variability (Matos, Duarte, Duarte et al., 2017). While oxytocin is a
32 salient hormone that helps infant mother bonding, high self-criticism can interfere with the
33 effects of oxytocin (Rockliff, Karl, McEwan, Gilbert, Matos, & Gilbert, 2011). CMT specifically
34 addresses self-criticism (Leaviss, & Uttley, 2015). Indeed, self-criticism and shame and self-
35 doubt pre-birth are known predictors of subsequent birth difficulty (Dunford & Granger, 2017).
36 CMT was specifically designed to address shame and self-criticism (Gilbert 2010). Hence, there
37 are a number of psychological and physiological reasons for investigating the impact of a
38 specific affiliation-based training on the process of adapting to childbirth.
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41 While research on CMT for PPD is currently in its infancy, the firm grounding of CMT
42 in both attachment as well as neurophysiological processes suggests it could be of significant
43 benefit to women and their babies. As such, the aim of this paper is to compare a CMT course
44 for perinatal and intending to become pregnant women to a CBT course, which is the theoretical
45 orientation that serves as the current gold standard for Internet-based PPD care. The current
46 outcome paper is a follow-up to a protocol manuscript introducing the structure of this pilot
47 randomized trial (Kelman et al., 2016).
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50 The goal of the current study is to examine possible differences between CBT and CMT
51 on a range of outcomes amongst perinatal and intending to become pregnant women. At the
52 broadest level, we expected that CMT and CBT would produce similar reductions on depression,
53 anxiety, and affect while those in the CMT group would show greater improvements on
54 measures of self-compassion and fears of compassion relative to the CBT group. We also
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hypothesized that participants in the CMT group would report greater increases in self-reassurance and decreases in inadequate self-criticism and hated self-criticism relative to the CBT condition after a 45-minute didactic course. We predicted that after the 45-minute didactic, both groups would see near equivalent affect improvements. Following completion of the entire two-week course, participants assigned to the CMT condition would report increases in self-compassion relative to those assigned to the CBT condition. Further, following completion of the entire two-week course, participants would see near equivalent reductions in depression and anxiety in the CMT and CBT conditions. To the best of our knowledge, this is the first study to adapt CMT to an online format and to examine it among women and relative to CBT.

Methods

Participants

One hundred fifty-three participants were screened for eligibility, of whom 148 gave consent and completed demographics and baseline measures. Of the consenting participants, 25 were not eligible to participate due to being male, not pregnant and not considering becoming pregnant, completing the course more than one time, or completing the didactic in less than 10 minutes. The participants who completed the course in less than 10 minutes were excluded, as the research team determined that meaningful engagement in both conditions was not feasible in less than 10 minutes. The remaining women ($n=123$) were then randomized into either Internet-based CMT ($n=61$) or Internet-based CBT ($n=62$). 84 completed two-week follow-up measures for either Internet-based CMT ($n=41$) and Internet-based CBT ($n=43$). Participant attrition at each phase of the study is depicted in Figure 1.

Both groups had participants that represent outliers in terms of their time to complete the intervention, with some participants taking several days to complete the didactic. We considered it almost certain that some of the participants who had taken longer to complete left their Internet browser open without meaningfully engaging in the content continuously. Therefore, we did not include a description of mean times for completion given the skewed nature of the data. However, modal number of minutes to completion of the didactic portion of the course for the CMT participants was 25.53 and 23.68 for CBT participants.

Of the 84 completers who returned for follow-up, 22.6% were between 18 to 25 years old, 61.9% between 26-34 years old, and 15.5% between 35 to 54 years old. Of the completers, 47.6% were currently pregnant, 13.1% were pregnant within the last year, and 39.3% were intending to become pregnant in the future. Seventy-eight percent (78.6%) of completers came from the US and 21.4% were from India. The majority of participants identified as European American/White (53.6%), with the next largest participant group identifying as Asian (28.6%), then African American (8.3%), Latino/a (6.0%), Other (2.4%), and Southeast Asian (1.2%). Furthermore, the majority of the sample was married (65.5%), heterosexual (88.1%), self-identified as "middle" socioeconomic status (63.1%), and lived in suburban neighborhoods (51.2%). The largest segment of the sample graduated college (41.7%) with the next largest group being individuals who completed some amount of college (26.2%).

Table 1 includes demographics and recruitment sources for all participants who completed the two-week follow-up ($n=84$). American participants made up a greater proportion of the CBT group when compared to the CMT group ($p=.03$).

Procedures

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3 Recruitment for the current trial was conducted through the Amazon Mechanical Turk
4 (MTurk) system and from professional networks, which included sending emails to clinical
5 psychologists and psychology trainees asking them to forward to those who might be interested
6 and may meet inclusion. Prospective participants were told through MTurk or email that the
7 research team is 'conducting a brief two week study to learn about the therapeutic benefit of brief
8 interventions for well-being...for women who are pregnant, interested in becoming pregnant in
9 the future, or pregnant within the last year.' MTurk recruited participants were paid \$2.50 total
10 per participant in three rounds of recruitment and \$5.00 total per participant in one round of
11 recruitment. Payment was rendered to participants after they completed post baseline measures at
12 two weeks and their participation code, which displayed after completing post baseline measures,
13 was verified in the MTurk system. Recruitment for the trial began in April 2015 and was
14 completed in September 2015. Eligibility criteria included proficiency in English, access to the
15 Internet, being female (currently pregnant, pregnant within the last year, or intending to become
16 pregnant in the future), and 18 years of age or older. Baseline depression status was not used to
17 determine eligibility for entry into this proof-of-concept, pilot trial.

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20 After providing Informed Consent (IC) and completing baseline measures to determine
21 eligibility, participants were randomized to Internet-based CBT or Internet-based CMT. Each
22 condition consisted of a 45-minute didactic course that introduced the course materials in order
23 to provide a rationale for completing the follow-up materials. Follow-up materials were exercises
24 for the CBT condition and audio meditations for the CMT condition. Participants received the
25 follow-up materials through automatically generated emails that were sent based on the email
26 address provided by participants. In the first email, which was triggered immediately following
27 completion of the didactic course, participants were informed they would receive additional
28 emails at day 4, day 7, and day 14.

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30 In the day 14 email, participants were invited to click the link to a follow-up survey. In
31 the follow-up survey, participants then completed the two-week follow-up measures.
32 Additionally, participants were informed in this same email that they were able to keep and reuse
33 materials they received during the course. All procedures for the current study were approved by
34 the Palo Alto University Institutional Review Board.

35 Measures

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37 **Primary Outcome Measures.** Depression and anxiety were the primary outcome
38 measures of the present study. These constructs were assessed using the Patient Health
39 Questionnaire-4 (PHQ-4; Löwe et al., 2010), which is a self-report measure that has two items to
40 assess depression (PHQ-2) and two items to assess anxiety (Generalized Anxiety Disorder-2;
41 GAD-2; Kroenke, Spitzer, Williams, & Löwe, 2009). From a general population sample,
42 Cronbach's alpha was .78 for PHQ-2 and .75 for GAD-2 (Löwe et al., 2010). The PHQ-4 has
43 been co-normed with the Structured Clinical Interview for DSM-IV Disorders (SCID-4). Results
44 of this procedure showed that a scaled score of 3 on the PHQ-2 demonstrated sensitivity of 87%
45 and specificity of 78% for Major Depressive Disorder (MDD). Furthermore, the PHQ-4 has
46 shown comparable diagnostic abilities when compared to longer measures (Löwe, Kroenke, &
47 Gräfe, 2005). In order to assess pre and post-course changes in depression and anxiety,
48 participants completed the PHQ-4 before the didactic portion of the course and after finishing the
49 post course measures at two weeks.

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51 **Secondary Outcome Measures.** In order to assess shifts in hated self-criticism,
52 inadequate self-criticism, and self-reassurance the Forms of Self-criticizing/Attacking and Self-
53 Reassurance Scale (FSCRS) was employed (Gilbert, Clarke, Hempel, Miles, & Irons, 2004).
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3 Cronbach's alpha for inadequate self-criticism was at 0.90 and 0.86, each, for hated self-criticism
4 and self-reassurance (Gilbert et al., 2004) in a sample of female college students. In order to
5 assess pre and post-didactic shifts in these constructs, participants completed the FSCRS before
6 and after the didactic portion of the course.

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8 A Likert-scale item ('how would you rate your mood currently?') was used to assess
9 current affect and was rated from 0-very bad to 7-very good. Participants completed the affect
10 item pre-didactic and post-didactic.

11 Shifts in self-compassion were assessed using the Self-Compassion Scale – Short Form
12 (SCS-SF; Raes, Pommier, Neff, & Van Gucht, 2010). This measure gauges the extent to which
13 individuals are able to be self-compassionate when in situations of difficulty. The short form of
14 the SCS has a near perfect correlation with the longer version of the measure at .97 and a
15 Cronbach's alpha of .86 in the general population sample within the US (Raes et al., 2010).
16 Participants completed the SCS-SF pre-didactic and after completion of post baseline measures
17 at two weeks.

18 19 **Internet Interventions**

20 The CBT condition was based on standard cognitive-behavioral concepts of working with
21 cognitions, behavioral activation, interpersonal effectiveness, and sleep hygiene. The Internet-
22 based version of the materials used in this condition were adapted to match the length and depth
23 of the CMT condition of the course. The original content was developed by the Institute for
24 International Internet Interventions (i4health) as "micro-intervention" versions of CBT focused
25 specifically on four brief, interactive lessons on 1) thoughts, 2) activities, 3) assertiveness, and 4)
26 sleep. Participants were presented with the materials in follow-up emails during the two week
27 course to practice concepts learned during the didactic portion of the course. Figure 2 is a visual
28 depiction of the CBT condition to further illustrate the features of this condition.

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30 The CMT condition included 1) finding ourselves here in the flow of life, 2) old brain,
31 new brain, 3) the three circles of affect regulation and pregnancy, and 4) cultivating the
32 compassionate self. Paul Gilbert, Ph.D., the founder of CFT and CMT, and Michelle Cree, M.S.,
33 who has expertise in CFT and CMT for PPD, developed both the overall structure as well as the
34 audio meditations for the CMT condition. The CMT condition was built by Alex Kelman, PhD,
35 PI on the present study, under the direction of Dr. Gilbert and Ms. Cree. Figure 3 is a visual
36 depiction of the CMT condition to further illustrate the features of this condition.

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38 Participants in both conditions were presented with the same 'thank you' letter at the end
39 of the didactic that referenced pregnancy-specific information. The CMT condition contained
40 minimal additional pregnancy-specific content in the third module beyond the CBT condition.

41 42 **Data Analysis**

43 An equivalence test was conducted to assess pre randomization equivalence of baseline
44 measures for both the Internet-based CMT and Internet-based CBT conditions. A 2x2 mixed
45 analysis of variance (ANOVA) was conducted for each measure at baseline and the two-week
46 follow-up. The between subjects factor in the ANOVA was treatment condition (CBT vs. CMT)
47 and the within subjects factor was assessment period (pre-treatment vs. post treatment) with the
48 following outcome measures (affect, self-reassuring, hated self-criticism, inadequate self-
49 criticism, self-compassion, depression, and anxiety). A main effect of time and a time by
50 condition interaction were analyzed to determine if there were differences between Internet-
51 based CMT and Internet-based CBT on each of the outcome measures. Additionally, parallel
52 analyses using an estimator of complete information for all randomized participants were
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conducted. Since there were no significant differences between the completer and parallel analyses, this study only includes the completer analyses.

Results

We hypothesized that participants who were randomized to the Internet-based CMT condition would see greater increases in self-reassurance and decreases in inadequate self-criticism and hated self-criticism relative to those assigned to the Internet-based CBT condition. Course condition was entered as the between-subjects factor and assessment period was entered as the within-subjects factors and self-reassurance, inadequate self-criticism, and hated self-criticism as the dependent variables (DV). There was a main effect of time on self-reassurance $F(1,121) = 23.45, p < .001$, inadequate self-criticism $F(1,121) = 17.11, p < .001$, and hated self-criticism $F(1,121) = 14.81, p < .001$, indicating significant increases in self-reassurance and decreases in inadequate self-criticism and hated self-criticism. There was no main effect of treatment condition on self-reassurance $F(1,121) = .08, p = .77$, inadequate self-criticism $F(1,121) = .01, p = .91$, or hated self-criticism $F(1,121) = .02, p = .89$. Examination of the interaction terms showed no significant changes in self-reassurance $F(1,121) = 3.12, p = .08$, inadequate self-criticism $F(1,121) = .24, p = .63$, and hated self-criticism $F(1,121) = 1.29, p = .26$ across group and time, which indicates there were no significant differences between groups on the three subscales of the FSCRS.

To determine whether participants in both conditions would see near equivalent affect improvements at post didactic, course condition was entered as the between-subjects factor and time as the within-subjects factor and affect as the DV. There was no main effect for time $F(1,121) = 1.67, p = .20$, no main effect for treatment condition $F(1,121) = .05, p = .82$, nor was there an interaction, indicating the course conditions did not significantly differ on their effects on affect $F(1,121) = 2.14, p = .15$.

To evaluate whether participants in the Internet-based CMT condition would see greater increases in self-compassion relative to the Internet-based CBT condition from pre- to post course at two weeks, course condition was entered as the between-subjects factor and assessment period was entered as the within-subjects factor and self-compassion as the DV. There was a main effect for time $F(1,82) = 31.11, p < .001$, such that participants increased on self-compassion. There was no main effect of treatment condition $F(1,82) = .01, p = .93$. Result of the interaction showed that groups did not significantly differ over time on self-compassion $F(1,82) = 3.69, p = .06$, though examination of means showed that CMT participants trended towards greater increases in self-compassion. Partial eta-squared ($\eta^2 = .04$) was of small to medium size.

To analyze whether participants in both conditions would see near equivalent reductions in depression and anxiety, course condition was entered as the between-subjects factor and assessment period was entered as the within-subjects factors with depression (PHQ-2) and anxiety (GAD-2) subscales of the PHQ-4 as the DVs. For depression, there was a main effect for time $F(1,82) = 10.78, p < .01$, such that depression decreased over time. There was no main effect of treatment condition on depression $F(1,82) = .39, p = .54$. Result of the interaction showed that groups significantly differed over time on depression $F(1,82) = 4.88, p = .03$, with the CMT condition showing greater reductions. There was a main effect of time on anxiety $F(1,82) = 21.28, p < .001$, with participants, as a whole, showing significant reductions. There was no main effect of treatment condition on anxiety $F(1,82) = .07, p = .79$. Results of the interaction demonstrated that groups significantly differed over time on anxiety $F(1,82) = 4.42, p$

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3 = .04, with the CMT group having significantly more reduced anxiety scores over time than the
4 CBT group.

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6 Means and standard deviations of both CBT and CMT groups at pre- and post course are
7 presented in Table 2. The group means for both the CBT and CMT groups at both pre- and post
8 course all fell in the normal range. No such cutoff scores have been established for the other
9 outcomes measures. Because we wanted to assess the clinical utility of the course, we conducted
10 a follow-up analysis restricting the sample to only those who demonstrated score elevations on
11 either the PHQ-2 or the GAD-2 above 2, thereby restricting the sample to those who would
12 screen positive on a brief screener of depression or anxiety, respectively (Kroenke, Spitzer,
13 Williams, & Löwe, 2009). We then conducted two chi square tests of association. The first
14 analysis looked at the relationship between group and depression at follow-up and the second
15 looked at the relationship between group and anxiety at follow-up. We found that there was a
16 significant association between group and depression status, such that, of those that screened for
17 depression, those randomized to the CMT group were more likely to score below the cutoff at
18 follow-up $\chi^2(1, N = 27) = 5.04, p = .03$. We found no evidence of a relationship between group
19 and anxiety status amongst those who initially screened positive for anxiety $\chi^2(1, N = 31) =$
20 $0.06, p = .81$.

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23 Further, we conducted an additional subgroup analysis of currently pregnant women,
24 since our sample included women who were also outside of the perinatal period and thus our
25 sample does not exclusively represent and provide information on currently pregnant women.
26 Through this subgroup analysis, results demonstrated that CMT effects above and beyond CBT
27 on depression scores maintained even among the pregnant subgroup ($p = .05$). However, when
28 analyzing the pregnant subgroup, the anxiety scores were no longer significantly different
29 between women in CMT relative to CBT ($p = .09$).

30
31 Analysis of differences between course condition at 2 weeks is presented in Table 3.

32 33 Discussion

34 Overall, results from this pilot RCT demonstrate that brief automated Internet-based
35 CMT for pregnant, postpartum, and intending to become pregnant women may be a useful tool
36 to help reduce symptoms of depression and anxiety. While CBT is presently the gold standard
37 for depression, both as an Internet intervention and in person, the equivalence of CMT as
38 compared to CBT on the constructs of self-reassurance, inadequate self-criticism, hated self-
39 criticism, and self-compassion and the superior performance of CMT on reducing depression and
40 anxiety scores suggests that CMT may provide some added utility beyond the current gold
41 standard. Further, the subgroup analysis for women currently in the clinical range on the brief
42 screeners of depression and anxiety demonstrated CMT utility above and beyond CBT for
43 reducing depression but the findings did not hold for anxiety. This finding for depression
44 provides evidence for plausible clinical utility of the CMT version of the course in reducing
45 depression among women with clinical symptomatology. Additionally, given the depression
46 findings held among the 40 women classified as currently pregnant, future directions in this
47 research line, which will be discussed in the conclusion, will aim to further elucidate the effects
48 of compassion treatments for depressive symptoms in a sample of currently pregnant women.

49
50 Given that CMT specifically targets compassion towards oneself and others, we were
51 surprised to find that both conditions demonstrated near equivalent outcomes for self-
52 compassion. Similarly, we did not expect CMT to further reduce symptoms of depression and
53 anxiety relative to CBT among this sample of women. As CBT specifically targets processes
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3 thought to precede and maintain depression and anxiety, these results necessitate further inquiry
4 in our theoretical understanding of negative affective problems. As suggested by the
5 (neuro)physiological processes underpinning CMT, these results suggest that different
6 mechanisms beyond cognitions and behavior may play a larger role than previously anticipated
7 in mood symptomatology.
8

9 One possible explanation for these findings may relate to biases in perceived affective
10 tone present in depressed and anxious individuals. Substantial literature has documented that
11 depressed and anxious individuals show biases in noticing negative stimuli more quickly and
12 interpreting ambiguous stimuli as more negative (Mogg, Bradley, & Williams, 1995). Given
13 these biases, we believe that individuals who have self-critical tendencies likely exhibit a more
14 negative “internal tone.” This may then mean that resources that do not explicitly seek to
15 generate a positive “internal tone” run the risk of using affectively neutral language that will be
16 interpreted negatively by individuals prone to these biases. We would argue that compassion-
17 based resources may more explicitly foster friendly/affiliative positive “internal tone,” allowing
18 individuals to experience a sense of security necessary to attempt further change.
19

20 Our finding that CMT produced greater reductions in depression and anxiety scores
21 among the general sample and depression scores among the clinical and pregnant subsamples is
22 consistent with prior literature that suggests that reduction of self-criticism is a significant
23 predictor of treatment success with depressed patients (Rector, Bagby, Segal, Joffe, & Levitt,
24 2000). Interestingly, the same study found that CBT patients with high levels of self-criticism
25 were more likely to react poorly to treatment. These findings suggest two important ideas. First,
26 interrupting self-critical “internal tone” is crucial to mood change. Second, the “micro-
27 intervention” version of CBT used in this study, perhaps due in part to its concise and
28 pedagogical tone, may have inadvertently fostered critical or judgmental thoughts. In light of
29 these findings, we would suggest that for many patients, especially when self-criticism is a
30 central concern, delivering treatment imbued with a compassionate tone may improve outcomes.
31

32 While we have argued that increasing compassion may be an important pre-requisite for
33 mood change, the question remains as to why a CMT course would not produce changes in
34 compassion similar to those seen in depression and anxiety. Since many of the items on our
35 measure of self-compassion tend to be more trait-based in nature (e.g. ‘I try to be understanding
36 and patient towards those aspects of my personality I don’t like.’), it is feasible that this construct
37 would not reasonably shift in a short period of time. However, we would argue that across time,
38 repeated practice with fostering a more positive internal tone may produce changes in
39 compassion that complement our findings with respect to depression and anxiety. Currently, an
40 updated CMT course is being tested as a prevention of PPD intervention for women in their
41 second and third trimesters who are at risk of developing depression following pregnancy.
42 Results from this trial will provide information on the preventative effectiveness of the course as
43 well as a more distal time point (between 3 and 6 months’ post baseline depending on pregnancy
44 status at baseline) to measure relevant constructs.
45

46 Similar to our findings with self-compassion, we believe the lack of significant
47 differences between groups in self-reassurance, inadequate self-criticism, and hated self-criticism
48 may reflect an underlying durability of such constructs. The FSCRS, the scale used to measure
49 these constructs, was given to participants before and after the 45-minute didactic portion of the
50 course. Since many of the items on this measure tend to be more trait-based in nature (ex. ‘I am
51 easily disappointed in myself’), it is feasible that the constructs would not reasonably shift in a
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3 short period of time. As such, future trials may benefit from giving these measures over a longer
4 period of time.

6 **Conclusions**

7 The most evident limitation of the current trial is the absence of a more distal time point
8 for measurement of constructs. As we only collected at a two-week follow-up, we lack adequate
9 information on the maintenance of change in constructs after this point. Since the ultimate goal
10 of Internet interventions is to provide psychological tools to reduce suffering on a global scale,
11 an understanding of the longer-term utility of resources is crucial. As mentioned previously, we
12 plan to address this issue in the next iteration of the CMT course, in which we are collecting data
13 exclusively with currently pregnant participants that we follow up to twelve weeks postpartum.
14 The next step along this line of research will allow for a better understanding of CMT utility
15 specifically for prevention of postpartum depression among currently pregnant women,
16 something that we were unable to determine in this proof-of-concept pilot trial.

17
18 Another limitation of the current study is the fact that it does not directly test whether the
19 intervention is effective in preventing PPD. This was partly due to the fact that, as a pilot study,
20 all data was gathered within a two week timeframe and that such analysis was not possible. As
21 such, we sought instead to demonstrate reductions in areas related to common PPD symptom
22 domains. Our future work will seek to address this concern by employing a prevention model
23 and testing its effectiveness in lowering rates of PPD. However, we felt presenting these findings
24 represent an important step in providing initial evidence to the utility of CMT in affecting
25 symptom areas common to PPD in the desired direction.

26
27 In regards to recruitment for this trial, MTurk, the Amazon recruitment engine, accounted
28 for the largest proportion of completer participants (96.4%). Notably, the MTurk system includes
29 a diverse group of workers from various backgrounds in several countries (Buhrmester, Kwang,
30 & Gosling, 2011). Further, Internet-based trials often utilize novel recruitment means to attract a
31 global sample of participants (e.g. Barrera, Kelman, & Muñoz, 2014). As the vast majority of
32 MTurk workers come from the US and India (Mason & Suri, 2012), it is therefore unsurprising
33 that all completer participants resided in these two countries. Since there is evidence to support
34 the fact that workers in the MTurk system are more demographically diverse than standard
35 college and Internet samples (Buhrmester et al., 2011), it is unlikely that our results are a
36 function of something inherently different about a sample derived from MTurk relative to
37 standard samples. However, a limitation to this method of recruitment is in relation to the
38 number of completers in an MTurk sample, all of whom are incentivized through reimbursement,
39 is likely much higher than what would occur among women in the general population seeking
40 these resources.

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43 As a result of the findings in this pilot trial, further investigation should be conducted into
44 the use of Internet-based CMT for a global population of perinatal, postpartum, and intending to
45 become pregnant women. This study provides initial evidence for the utility of compassion-
46 based resources delivered in an automated, Internet-based format. There are several possible
47 implications of this study that we hope will be further investigated. First, our study suggests
48 initial indicators of CMT outperforming the gold standard. As such, there should be inquiry into
49 what may account for this surprising finding to then elucidate mechanisms. Second, at present,
50 there is a lack of adequate global resources for women who are pregnant, postpartum, and
51 intending to become pregnant. Because this low-cost resource may provide additional utility
52 beyond the gold standard, further inquiry is warranted to better understand Internet-based CMT
53 as a psychological tool for this population. Finally, we would argue that furthering the study of
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3 compassion-based resources that address a broader range of issues and populations merits
4 continued study. CMT has shown promise in addressing a range of psychological issues, such as
5 depression, anxiety, weight problems, and trauma. If these concepts are effective in highly
6 deliverable formats, such as through the Internet and mobile apps, then mapping out potential
7 within specific areas represents an important horizon within the field of psychology.
8
9

10 **Declarations**

11 All procedures for the current study were approved by the Palo Alto University
12 Institutional Review Board. The datasets used during the current study are available from the
13 corresponding author on reasonable request. Further, the authors declare that they have no
14 competing interests.
15

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For Peer Review

Table 1

Completer Demographics

Demographic Variables	CMT (N=41) <i>n</i> (%)	CBT (N=43) <i>n</i> (%)	Both (N=84) <i>n</i> (%)	Difference <i>p</i>
Age				
18-25	6 (14.6)	13 (30.2)	19 (22.6)	.94
26-34	32 (78)	20 (46.5)	52 (61.9)	
35-54	3 (7.3)	10 (23.3)	13 (15.5)	
Ethnicity	4 (9.8)	3 (7.0)	7 (8.3)	.20
African American	16 (39.0)	8 (18.6)	24 (28.6)	
Asian	1 (2.4)	0 (0)	1 (1.2)	
Southeast Asian	18 (43.9)	27 (62.8)	45 (53.6)	
European American/White	1 (2.4)	4 (9.3)	5 (6.0)	
Latino/a	1 (2.4)	1 (2.3)	2 (2.4)	
Other				
Country	28 (68.3)	38 (88.4)	66 (78.6)	.03
United States	13 (31.7)	5 (11.6)	18 (21.4)	
India				
Marital Status				.51
Living with another	7 (17.1)	7 (16.3)	14 (16.7)	
Married	28 (68.3)	27 (62.8)	55 (65.5)	
Divorced	0 (0)	2 (4.7)	2 (2.4)	
Separated	1 (2.4)	0 (0)	1 (1.2)	
Single	5 (12.2)	7 (16.3)	12 (14.3)	
Sexual Orientation				.99
Heterosexual	36 (87.8)	38 (88.4)	74 (88.1)	
LGBTQ	3 (7.3)	3 (7.0)	6 (7.1)	
Neither describes me	2 (4.9)	2 (4.7)	4 (4.8)	
Area lived				.26
Urban	16 (39.0)	15 (34.9)	31 (36.9)	
Suburban	18 (43.9)	25 (58.1)	43 (51.2)	
Rural	7 (17.1)	3 (7.0)	10 (11.9)	
Socioeconomic Status				.55
Low	9 (22.0)	14 (32.6)	23 (27.4)	
Middle	29 (70.7)	24 (55.8)	53 (63.1)	
High	3 (7.3)	5 (11.6)	8 (9.5)	

Note. Recruitment source was not analyzed for significant differences. Significant at ** = $p < .01$ level

Table 1 (continued)

Completer Demographics

Demographic Variables	CMT (N=41) <i>n</i> (%)	CBT (N=43) <i>n</i> (%)	Both (N=84) <i>n</i> (%)	Difference <i>p</i>
Highest Education				
High School	3 (7.3)	4 (9.3)	7 (8.3)	
Vocational/Technical	2 (4.9)	3 (7.0)	5 (6.0)	
Some College	11 (26.8)	11 (25.6)	22 (26.2)	.47
College Graduate	16 (39)	19 (44.2)	35 (41.7)	
Graduate Degree	9 (22)	6 (14.0)	15 (17.9)	
Pregnancy Status				
Currently pregnant	22 (53.7)	18 (41.9)	40 (47.6)	
Gave birth in past year	5 (12.2)	6 (14.0)	11 (13.1)	.55
Intending to become pregnant	14 (34.1)	19 (44.2)	33 (39.3)	
Recruitment Source				
Professional Networks	2 (4.9)	1 (2.3)	3 (3.6)	--
Amazon Mechanical Turk	39 (95.1)	42 (97.7)	81 (96.4)	

Note. Recruitment source was not analyzed for significant differences. Significant at ** = $p < .01$ level.

Table 2

Means and Standard Deviations for Both CMT and CBT Completers

Measurement Time	CMT Pre	CMT Post	CBT Pre	CBT Post
Measure	<i>M (SD)</i>	<i>M (SD)</i>	<i>M (SD)</i>	<i>M (SD)</i>
Post didactic	<i>n</i> =61	<i>n</i> =62	<i>n</i> =61	<i>n</i> =62
Self-reassurance	20.41 (.94)	22.56 (.95)	20.61 (.93)	21.61 (.95)
Hated SC	5.10 (.67)	4.03 (.64)	4.98 (.66)	4.40 (.64)
Inadequate SC	15.85 (1.24)	13.79 (1.20)	15.44 (1.23)	13.81 (1.19)
Affect	5.31 (.16)	5.57 (.17)	5.40 (.16)	5.39 (.17)
Post two-weeks	<i>n</i> =41	<i>n</i> =43	<i>n</i> =41	<i>n</i> =43
Self-compassion	37.49 (1.56)	42.83 (1.44)	39.02 (1.53)	41.63 (1.40)
Depression	2.02 (.30)	1.07 (.27)	1.42 (.29)	1.23 (.27)
Anxiety	2.24 (.32)	1.00 (.26)	1.95 (.31)	1.49 (.26)

Note. Post didactic is immediately following introduction of course materials. Follow-up at two weeks. Self-criticism (SC).

Table 3

Differences between Conditions at Two-week follow-up

Variable	Mean Square	<i>F</i>	<i>p</i>
Post didactic			
Self-reassurance	20.25	3.12	.08
Hated self-criticism	3.62	1.29	.26
Inadequate self-criticism	2.93	.24	.63
Affect	1.19	2.14	.15
Post two-weeks			
Self-compassion	78.60	3.69	.06
Depression	6.14	4.88	.03*
Anxiety	6.37	4.42	.04*

Note. Significant at * = $p < .05$ level. Post didactic is immediately following introduction of course materials. Follow-up at two weeks.

Figure 1

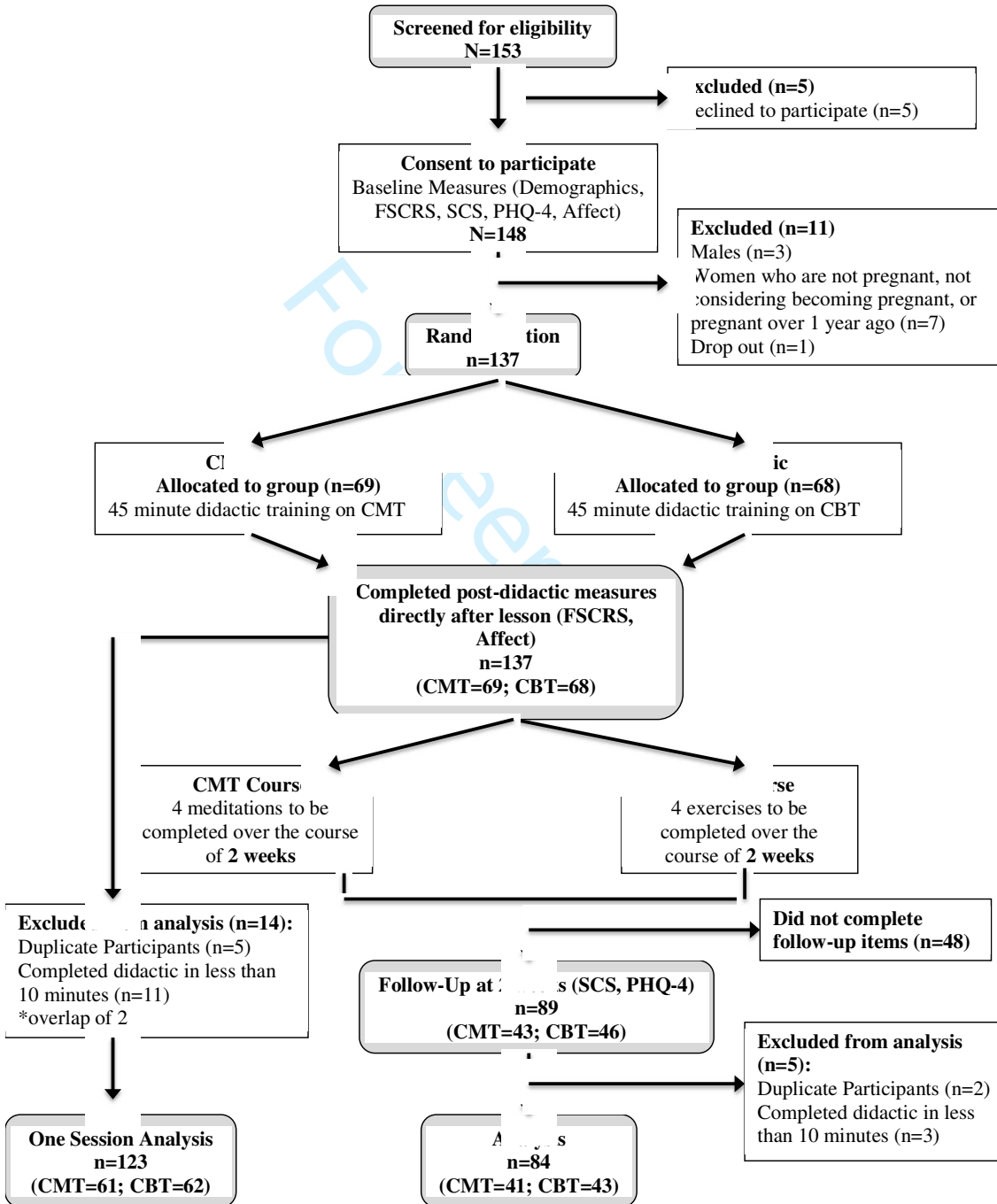


Figure 2

Part 1: How What You Think Affects How You Feel

The brief technique you have been assigned to try this week is: Thoughts to Feel Better

Key Idea: You can change how you feel by changing what you think:

Specific thoughts make it more or less likely that your mood will improve. By "thoughts" we mean "sentences we tell ourselves." There are helpful and harmful thoughts.

Purposefully Increase Helpful Thoughts these next two weeks

Select the thoughts that you think would be helpful for you:

- I may need to improve, but overall I am a good person.
- I am perfect the way I am AND I could use a little improvement.
- If things are particularly bad right now, they are likely to get back to normal: "This, too, shall pass."
- I can notice what is good or beautiful around me.
- I can learn to be happier as I live longer.
- That was probably a reasonable solution to a tough problem.
- I deserve credit for trying hard.
- I really handled that situation well.
- If I can just hold on until such-and-such a date, I'll be OK.
- I have worked long enough -- now it's time to have fun.
- I can find the strength to handle whatever comes up.
- Someday I'll look back on today and smile.
- I can make THIS week be as good as possible.

Add a thought that *gives you strength and energy*:

Figure 3

Understanding Our Emotions Part 2: Old Brain, New Brain

We are not the ones who design our brains, nor the desires, emotions, or motives that we have. As a result, the way our brains work is **not our fault**.

Old Brain

The old brain, which evolved millions of years ago, has one main goal - to keep us alive and to make sure we reproduce and pass our genes along. The old brain deals with our basic emotions of anger, disgust, anxiety, joy, and excitement.

