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Methodological Review

# Health dialog systems for patients and consumers <sup>☆</sup>

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## 10 Abstract

11 There is a growing need for automated systems that can interview patients and consumers about their health and provide health edu-  
12 cation and behavior change interventions using natural language dialog. A number of these health dialog systems have been developed  
13 over the last two decades, many of which have been formally evaluated in clinical trials and shown to be effective. This article provides an  
14 overview of the theories, technologies and methodologies that are used in the construction and evaluation of these systems, along with a  
15 description of many of the systems developed and tested to date. The strengths and weaknesses of these approaches are also discussed,  
16 and the needs for future work in the field are delineated.

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18 *Keywords:* Dialog system; Behavioral informatics; Consumer informatics; Natural language processing

## 20 1. Introduction

21 One-on-one, face-to-face interaction with a health  
22 provider is widely acknowledged to be the “gold stan-  
23 dard” for providing health education to and affecting  
24 health behavior change in patients and consumers.  
25 Automated health dialog systems—especially those  
26 which use speech and other audiovisual media—emulate  
27 this form of interaction to communicate health informa-  
28 tion to users in a format that is natural, intuitive and  
29 dynamically tailored.

30 A significant amount of research has been conducted  
31 over the last two decades into the automatic generation  
32 of printed materials, web pages and other static media  
33 for the purpose of providing health communication to  
34 patients and consumers. However, although these  
35 approaches have been found to be effective [1], they still fall

short of the “gold standard” in several ways. For example, 36  
in static media, information cannot be rephrased if the cli- 37  
ents do not understand it, clients cannot ask clarifying 38  
questions, and they cannot request more or less informa- 39  
tion on specific topics of interest. In addition, while many 40  
studies have demonstrated the efficacy of tailoring print 41  
or web materials based on initial characteristics of the user 42  
[2], dialog systems can allow messages to be tailored at a 43  
very fine-grained level, with each sentence of delivered 44  
information synthesized on the basis on the inferred goals 45  
and beliefs of the user at a particular moment in time, 46  
and incorporating everything that has previously been said 47  
in the conversation. When used in conjunction with speech 48  
and possibly other nonverbal conversational modalities 49  
(such as hand gesture or facial display), dialog also pro- 50  
vides a medium through which a significant amount of 51  
information can be conveyed in addition to the linguistic 52  
content, including emphasis, affect, and attitude. For these 53  
reasons, simulated face-to-face conversation may also be 54  
an especially effective communication channel to use with 55  
individuals who have low reading or functional health 56  
literacy. 57

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58 In some ways, health dialog systems may even be better  
 59 than interacting with a human provider. One problem with  
 60 in-person encounters with health professionals is that all  
 61 providers function in health care environments in which  
 62 they can only spend a very limited amount of time with  
 63 each patient [3]. Time pressures can result in patients  
 64 feeling too intimidated to ask questions, or to ask that  
 65 information be repeated. Another problem is that of  
 66 “fidelity”: providers do not always perform in perfect  
 67 accordance with recommended guidelines, resulting in sig-  
 68 nificant inter-provider and intra-provider variations in the  
 69 delivery of health information. Finally, many people sim-  
 70 ply do not have access to the all of the health professionals  
 71 they need, due to financial or scheduling constraints. Even  
 72 if health dialog systems have lower efficacy than one-on-  
 73 one counseling, they have the potential to reach a much  
 74 greater portion of the population, resulting in greater  
 75 “impact” (efficacy multiplied by reach [4]).

76 In addition to emulating face-to-face interaction with a  
 77 health professional, dialog system technology can be used  
 78 in a number of other ways to provide patients and consumers  
 79 with health information. For example, real-time speech-  
 80 based machine translation systems can enable a health  
 81 professional to assist a patient who speaks a different  
 82 language [5]. Computer games in which consumers can con-  
 83 verse with non-player characters in natural language can be  
 84 used to affect health behavior change through role playing  
 85 and dialog with peer characters [6]. Thus, to be as inclusive  
 86 as possible, we define health dialog systems to be those auto-  
 87 mated systems whose primary goal is to provide health  
 88 communication with patients or consumers primarily using  
 89 natural language dialog. While such systems can be used  
 90 for a very wide range of applications—including the promo-  
 91 tion of patient disease self-management, disease monitoring,  
 92 and screening—we will focus on patient education and  
 93 health behavior change applications in this paper, as these  
 94 have received the most research attention to date.

95 The field of health dialog systems lies at the intersection  
 96 of two much larger disciplines—computational linguistics  
 97 (specifically work on dialog systems) and medical informat-  
 98 ics (specifically in the area of consumer informatics).  
 99 Although this intersection is still fairly small in terms of  
 100 the number of active researchers and the number of sys-  
 101 tems built and deployed, it has a long history and repre-  
 102 sents a rapidly growing field. In 2004, an initial  
 103 workshop was held on this topic as part of the American  
 104 Association for Artificial Intelligence’s Fall Symposium  
 105 Series [7], and a follow-on workshop will be held in 2006,  
 106 focusing specifically on automated argumentation systems  
 107 for health communication [8].

108 This article begins with a brief review of dialog system  
 109 theory followed by a discussion of what makes health dia-  
 110 log different from other dialog system application domains.  
 111 Reviews of dialog system technologies and deployment  
 112 technologies are then presented, followed by discussions  
 113 of development and evaluation methodologies. Finally, a  
 114 brief review is given of the efficacy of the systems fielded

to date followed by a discussion of some promising areas  
 of future research.

## 2. Basic concepts in dialog system theory

Linguists have traditionally decomposed the problem of  
 understanding and generating natural language utterances  
 into several layers of analysis (see Fig. 1) [9]. Phonetic anal-  
 ysis structures sequences of phonemes (the smallest units of  
 sound) together into morphemes (roots, prefixes and suffix-  
 es). Morphology structures sequences of morphemes into  
 words. Syntax structures sequences of words into clauses  
 and then into sentences or utterances (when spoken).  
 Semantics is concerned with the meaning of sentences,  
 independent of their context of use: how words, phrases  
 and clauses relate to the world, and how the meanings of  
 these constituents can be combined to form the meaning  
 of an entire utterance. Pragmatics is concerned with those  
 elements of utterance meaning that are context-dependent,  
 and with how language is used by people to achieve their  
 goals.

The study of discourse and dialog falls within the realm  
 of pragmatics. Discourse is the extended use of language to  
 convey desires, beliefs and intentions. The pragmatics of  
 discourse is the study of how sequences of utterances com-  
 bine to form meaning, beyond that specified by the utter-  
 ances in isolation. Thus, in determining the meaning of a  
 given utterance in a conversation it is usually necessary  
 to have some (abstracted) representation of what has been  
 said before: the discourse context. Interlocutors are  
 assumed to incrementally update their shared representa-  
 tion of this context as a conversation unfolds. Dialog is dis-  
 course between two or more parties, with the quintessential  
 example being a conversation between two people or, in  
 our case, between a person and a computer.

In this paper, we focus primarily on issues dealt with in  
 the pragmatics of discourse and dialog, even though issues

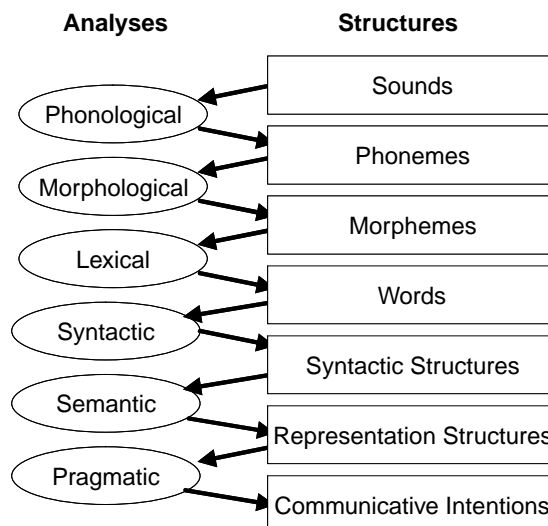


Fig. 1. Levels of linguistic analysis (adapted from [9]).

150 in the lower levels of analysis must also be dealt with when  
151 building dialog systems.

152 Discourse theory, then, is generally concerned with how  
153 multiple utterances fit together to specify meaning. Just as  
154 theories of syntax assume that sentences are composed of  
155 atomic units (words) and intermediate structures (phrases  
156 and clauses), organized according to a set of rules, theories  
157 of discourse generally assume that discourses are composed  
158 of discourse segments (consisting of one or more adjacent  
159 utterances), organized according to a set of rules. Beyond  
160 this, however, discourse theories vary widely in how they  
161 define discourse segments and the nature of the inter-seg-  
162 ment relationships. Some define these relationships to be  
163 a function of surface structure (e.g., based on categories  
164 of utterance function, such as *request* or *inform*, called  
165 “speech acts” [10]), while others posit that these relation-  
166 ships must be a function of the intentions (plans and goals)  
167 of the individuals having the conversation [11,12]. In addi-  
168 tion, researchers developing computational models of dis-  
169 course have included a number of other constructs in  
170 their representation of discourse context, including: entities  
171 previously mentioned in the conversation, possibly orga-  
172 nized into a sub-structure indicating the availability of  
173 these entities for subsequent reference; topics currently  
174 being discussed (e.g., “questions under discussion” [13]);  
175 and information structure, which indicates which parts of  
176 utterances contribute new information to the conversation  
177 as opposed to those parts which serve mainly to tie new  
178 contributions back to earlier conversation [14].

179 Discourse theory also seeks to provide accounts of a  
180 wide range of phenomena that occur in naturally occurring  
181 dialog including: mechanisms for conversation initiation,  
182 termination, maintenance and turn-taking; interruptions;  
183 speech intonation (used to convey a range of information  
184 about discourse context); discourse markers (words or  
185 phrases like “anyway” that signal changes in discourse  
186 context); discourse ellipsis (omission of a syntactically  
187 required phrase when the content can be inferred from dis-  
188 course context); grounding (how speaker and listener nego-  
189 tiate and confirm the meaning of utterances through signals  
190 such as head nods and paraverbals such as “uh huh”); and  
191 indirect speech acts (e.g., when a speaker says “do you have  
192 the time?” to know the time rather than simply wanting to  
193 know whether the hearer knows the time or not).

194 While significant progress has been made in both theo-  
195 retical and computational approaches to addressing most  
196 of these issues, in the most general cases these problems  
197 are far from being completely resolved, and many are  
198 known to be computationally intractable. In addition, the  
199 need for a first principles theory for these phenomena can  
200 be obviated by properly constraining a system’s interaction  
201 with the user. In particular, if the range of utterances the  
202 user can make at each point in the conversation is tightly  
203 constrained, then many of the phenomena above can be  
204 designed out of the interaction (e.g., interruptions), while  
205 others can be “pre-computed” by the system designers  
206 (e.g., the meaning of indirect speech acts). Consequently,

207 most contemporary health dialog systems—especially those  
208 which have been formally evaluated in large clinical stud-  
209 ies—use interactions with the user that are very tightly  
210 scripted.

211 However, much of the ongoing research in this area is  
212 concerned with developing systems that enable user-com-  
213 puter conversation that more closely approximates natural  
214 and fluid human-human dialog.

### 3. What’s unique about health dialog? 215

216 Communication between human healthcare providers  
217 and their patients is one of the most widely studied  
218 domains of communication research. Just within the field  
219 of physician-patient communication, one source lists over  
220 3000 articles in print [15], and there are volumes written  
221 on the dialog that occurs during psychotherapy sessions.  
222 In this section, we look at a number of factors that make  
223 health communication a particularly novel and challenging  
224 application domain for dialog systems researchers. Most of  
225 these factors have yet to be definitively addressed in con-  
226 temporary systems and thus represent important areas of  
227 ongoing research.

#### 3.1. Criticality 228

229 Many health dialog systems have the potential to be  
230 used in emergency situations, for example in systems that  
231 assist patients with ambulatory care sensitive diseases or  
232 in chronic disease self-management. Several systems devel-  
233 oped for this kind of application are designed to determine  
234 if the patient is having a life-threatening emergency as  
235 quickly as possible and either direct the patient to call  
236 911 or immediately and automatically send a designated  
237 physician a pager message or FAX alerting them to the sit-  
238 uation [16].

#### 3.2. Privacy and security 239

240 Dialog content and communication media may need to  
241 be tailored based on the user’s context to address privacy  
242 issues. For example, developers of applications that involve  
243 disclosure of potentially stigmatizing conditions or infor-  
244 mation should be sensitive to the user’s environment and  
245 tailor content accordingly (e.g., using speech dialog systems  
246 to manage HIV medication regimen adherence).

#### 3.3. Continuity over multiple interactions 247

248 Most health communication applications require multi-  
249 ple interactions with users over extended periods of time.  
250 Interaction frequencies can range from multiple times a  
251 day (e.g., in wearable monitoring applications) to daily  
252 (as in [17]) to one or more times per week (as in most  
253 TLC applications [18]), to once every few months (as in  
254 many of the health behavior change applications that use  
255 tailored documents [19]). Durations of use can span from

256 a month (FitTrack, Section 5.3.1) to several months or a  
 257 few years (most behavior change applications) to a lifetime  
 258 (chronic disease monitoring and self-care). Further, these  
 259 interactions are not isolated, stateless sessions (such as in  
 260 a database question answering system), but require exten-  
 261 sive information to be kept persistently between sessions  
 262 for a given user, with subsequent dialog tailored on the  
 263 basis of earlier conversations. This requirement for conti-  
 264 nuity over multiple interactions is found in few dialog  
 265 system application domains outside of healthcare (multi-  
 266 session intelligent tutoring systems being the other notable  
 267 example). This requirement also drives several interesting  
 268 research problems, such as determining the form and con-  
 269 tent of dialog history that is maintained between sessions,  
 270 and the generation and resolution of expressions that refer  
 271 to past interactions.

### 272 3.4. Language change over time

273 In human health provider–patient interactions lan-  
 274 guage use naturally evolves over the course of time. Sev-  
 275 eral studies have noted that task talk becomes more  
 276 concise and takes less time as the interactants’ knowledge  
 277 of each other increases, while their use of social dialog  
 278 generally increases as their relationship grows [20]. Some  
 279 specific examples of the ways in which health behavior  
 280 change dialog can evolve include: making use of infor-  
 281 mation about the user’s state to set behavior goals and  
 282 give feedback; progressively disclosing more information  
 283 about the user’s condition; gradually making task lan-  
 284 guage more precise; and gradually phasing out introduc-  
 285 tory how-to instructions and help messages. Maximizing  
 286 conciseness in spoken output is especially important since  
 287 it takes more time to communicate information in speech  
 288 than in text [21]. Language change is also important just  
 289 to maintain user engagement in the system. In the Fit-  
 290 Track study [17], several subjects mentioned that repeti-  
 291 tiveness in the system’s dialog content was responsible  
 292 for their losing motivation to continue working with  
 293 the system and follow its recommendations.

### 294 3.5. Managing patterns of use

295 One of the interesting but important ramifications of  
 296 interacting with users over multiple sessions is that users’  
 297 patterns of use of the system is itself is an important  
 298 object of study, and may require as extensive tracking  
 299 and management as the content of the intervention and  
 300 the user’s health behavior. Determining the optimal pat-  
 301 terns of use for a given intervention is a difficult prob-  
 302 lem, but must be specified before a system can  
 303 correctly manage interactions with its users. What is  
 304 the dose–response relationship between user–system con-  
 305 tacts and outcomes [4]? Is more frequent user–system  
 306 contact always better? Is a regular contact schedule (vs.  
 307 as needed by the user or as dictated by sensor data  
 308 and other information) always best [22]?

### 3.6. Power, initiative, and negotiation

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At first it may seem that conversational initiative in  
 health communication is one feature that actually works  
 in favor of building simpler dialog systems: as in most pro-  
 fessional–client interactions, the professional maintains the  
 initiative the vast majority of the time. While this is still the  
 case in many physician–patient and therapist–patient inter-  
 actions (physicians generally talk 50–100% more than  
 patients [20]), contemporary health communication  
 researchers have determined that the best way to motivate  
 patients to adhere to prescribed regimens and/or change  
 their health behavior is by moving away from this “pater-  
 nalistic” style of interaction to one in which the health pro-  
 fessional and the client work together on an equal footing  
 to come up with a treatment plan that fits into the client’s  
 life: so-called “patient-centered” communication [23,24].  
 There has been a significant amount of research over the  
 last few years on automated systems that can negotiate  
 with users in natural language (“argumentation systems”),  
 and this remains an active area of research.

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### 3.7. User–computer relationship

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The importance of quality relationships between health  
 care providers and their patients is now widely recognized  
 as a key factor in improving not only patient satisfaction,  
 but treatment outcomes across a wide range of health care  
 disciplines. The use of specific communication skills by  
 physicians—including strategies for conducting patient-  
 centered interviews and relationship development and  
 maintenance—has been associated with improved adher-  
 ence to treatment regimens improved physiological out-  
 comes, and increased patient satisfaction, leading to  
 recommendations for training physicians, nurses, pharma-  
 cists, and therapists in these skills [25].

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Several studies have demonstrated that people respond  
 in social ways to computers (and other media) when pro-  
 vided with the appropriate social cues, even though they  
 are typically unconscious of this behavior {Reeves, 1996  
 #2139}. In a qualitative study of user perceptions of a tele-  
 communications-based health behavior change interven-  
 tion, Kaplan et al. found that users not only talked  
 about the system using anthropomorphic terms (e.g., using  
 personal pronouns), they described the system in ways  
 indicative of having a personal relationship with it (e.g.,  
 “friend,” “helper,” “mentor”) and seemed to be concerned  
 about impression management (e.g., choosing to only  
 interact with the system on days in which they met the sys-  
 tem’s health behavior goals) [26]. Milch, et al. [27] found  
 that several subjects in their pager-based medication adher-  
 ence intervention talked about their pager as a “trusted  
 friend.”

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Taken together, these results indicate that an effective  
 automated health communication system must not only  
 be able to deploy appropriate intervention messages at  
 the appropriate time, but must also address social, emo-

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363 tional, and relational issues in its communication with a  
364 user [25].

#### 365 4. Dialog system technologies

366 A range of technologies are available for building health  
367 dialog systems. The simplest of these is a linear script that  
368 specifies the exact sequence of dialog moves the system and  
369 user will make in an interaction. State transition networks  
370 provide a more sophisticated and flexible model, allowing  
371 branches in the dialog based on what the user does in a given  
372 exchange with the computer. State transition networks  
373 can be defined hierarchically, resulting in sub-dialogs that  
374 can be factored out and re-used like subroutines: a modeling  
375 approach known as hierarchical state transition networks.  
376 Finally, plan-based dialog systems provide the  
377 potential for the greatest flexibility in dialog behavior by  
378 using action planners and plan recognition to model the  
379 underlying intentions of people in conversation. First,  
380 however, we describe pattern–response systems: a very simple,  
381 but commonly used approach for producing what  
382 appears to be flexible and coherent dialog with a computer.  
383 Table 1 presents a summary of the technologies discussed.

##### 384 4.1. Pattern–response dialog systems

385 One of the most ubiquitous and popular methods for  
386 building systems that appear to be able to conduct  
387 coherent, intelligent dialogs with users (for primarily  
388 non-medical applications) is the use of a set of pattern–  
389 response rules. In these systems, rule patterns are  
390 matched against the sequence of words in a user utterance  
391 and, when a match is found, a corresponding system  
392 output utterance is produced. Pioneered in the  
393 ELIZA system in 1966 [28], these systems maintain little  
394 or no discourse context, but instead rely on a number of  
395 tricks to produce what is apparently coherent dialog.  
396 These tricks include: maintaining system-initiated dialog,  
397 by having most system outputs prompt the user with  
398 open-ended questions; relying on the user’s sense-making  
399 ability to infer coherent explanations for the system’s  
400 outputs; and reflecting the user’s inputs back to them  
401 with minor wording changes in order to give the illusion  
402 of understanding what the user is saying.

403 An example rule in such a system is:

*PATTERN:* \* I AM \* DEPRESSED \* 404  
*RESPONSE:* I AM SORRY TO HEAR THAT YOU 405  
ARE DEPRESSED 406

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408 where the asterisks in the pattern match zero or more  
409 words in the user’s utterance. Here, the rule will match a  
410 user input of “I AM FEELING A LITTLE  
411 DEPRESSED” and produce a reasonable response. How-  
412 ever, this same response would also be produced (not so  
413 reasonably) for user inputs of “I AM NOT REALLY  
414 DEPRESSED” and “MY BROTHER THINKS I AM  
415 DEPRESSED”.

416 Unfortunately, since the user’s inputs are unconstrained  
417 and there is no linguistic analysis or discourse model that  
418 could enable the system to truly understand what the user  
419 is talking about in all situations, these systems cannot be  
420 relied upon for critical applications in health communica-  
421 tion in which errors in understanding user input can have  
422 dire consequences. However, this type of interaction has  
423 proven effective for emulating the behavior of a Rogerian  
424 psychotherapist (the purpose for which this type of dialog  
425 system was originally developed), and has been proven  
426 effective for therapy in which the system is essentially  
427 prompting a patient to think aloud and work through his  
428 or her own problems [29]. In these applications, significant  
429 errors in understanding user input or in producing incoher-  
430 ent system output can often be tolerated, as the primary  
431 function of the system is just to keep the user engaged in  
432 the interaction.

##### 433 4.2. State-based dialog systems

434 The most common technology used for health dialog  
435 systems is a state machine in which each dialog move the  
436 system can make (utterance or discourse segment) is repre-  
437 sented by a state, and arcs between states represent possible  
438 state transitions, with all of the arcs leading out of a given  
439 state (typically) representing alternative user inputs that are  
440 allowed in that state. In a state machine in which each state  
441 has only either zero or one next state, this represents an  
442 inflexible linear script such as the one shown in Fig. 2,  
443 for a simplified physical activity promotion system.

444 To provide variations in system behavior based on user  
445 input (and other factors such as physiological measure-  
446 ments, user characteristics or information gleaned from a

Table 1  
Summary of health dialog system technologies

Dialog system technology	Discourse context representation	Use for
Pattern–response	None	Entertainment, engagement of user
State-based linear	Current state	Very short series of questions (e.g., screening)
State transition network	Current state	Brief dialog with some branching
Hierarchical state transition network	Stack of states	Partitioning extended dialog, or dialog with reusable sub-dialogs
Augmented transition network	Stack of states, database	Multiple extended dialogs, or dialogs in which branching is based on several earlier responses
Plan-based	Many possible representations encompassing beliefs and intentions of system and user	Generating dialog from deep knowledge of domain and natural language

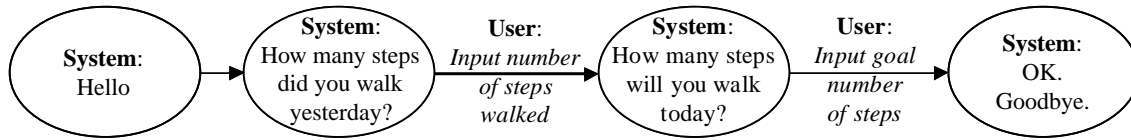


Fig. 2. Example linear dialog script.

447 user in previous dialogs), the linear script can be general-  
 448 ized to a State Transition Network, in which dialog states  
 449 can have more than one next state, as shown in Fig. 3.

450 Often, dialog state machines need to be created for a  
 451 variety of situations in which fragments of the state  
 452 machine are repeated. For example, a different top-level  
 453 dialog network may be developed for every contact with  
 454 a user, but every contact includes a sub-dialog for assessing  
 455 the user's health behavior in the same way. For this reason,  
 456 and also to reduce the complexity of very large dialog net-  
 457 works, it becomes desirable to factor out commonly used  
 458 dialog fragments and arrange for them to be invoked in a  
 459 hierarchical manner, like subroutines in a software pro-  
 460 gram. This model—as depicted in Fig. 4—is referred to  
 461 as a hierarchical state transition network, in which the box-  
 462 es represent invocation of sub-networks which are run to  
 463 completion before the parent network is resumed. Exec-  
 464 ution of these networks thus requires a run-time stack to  
 465 keep track of the suspended (invoking) networks and  
 466 return states.

467 Linguists have previously proposed using grammars to  
 468 represent general dialog structure, based on the observa-  
 469 tion that there are many sequencing regularities among  
 470 utterances in human conversation, for example “adjacency  
 471 pairs” such as a question typically being followed by an  
 472 answer [30]. However, there have also been many argu-

473 ments against the use of dialog grammars for representing  
 474 natural human conversation. For example, the fact that a  
 475 given utterance can perform multiple conversational func-  
 476 tions makes a single next state impossible to specify [31].

477 The expressive power of hierarchical state transition net-  
 478 works can further be extended by allowing the actions taken  
 479 upon user input recognition to include storing and retrieving  
 480 information from a persistent database, and allowing net-  
 481 work branches to be (partially) conditioned on this stored  
 482 information. For example, in a physical activity promotion  
 483 system, information about whether a user likes to exercise  
 484 alone or with others can be obtained early in a conversation  
 485 with a user and later used to determine whether to invoke a  
 486 social support sub-dialog or not. Hierarchical state transi-  
 487 tion networks augmented in this manner are called “Aug-  
 488 mented Transition Networks,” and were originally  
 489 developed for sentence parsing [32]. Augmented transition  
 490 networks remain the most commonly used technology for  
 491 implementing health dialog systems, and is the model under-  
 492 lying the VoiceXML dialog system standard [33].

493 4.3. Plan-based systems

494 The ultimate goal for many applications in dialog sys-  
 495 tems research is the development of systems that allow  
 496 users to have as much freedom as possible to conduct an

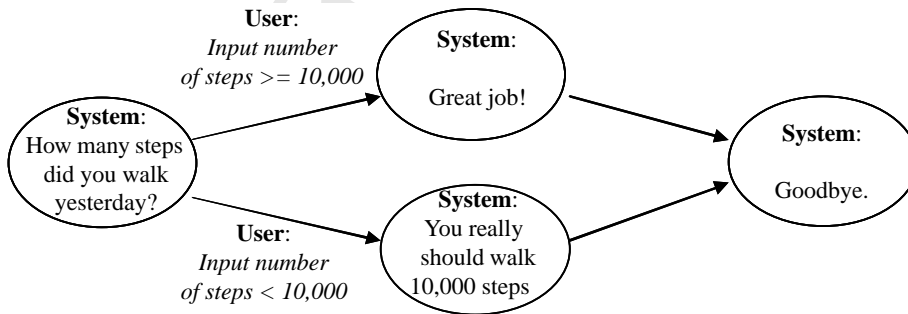


Fig. 3. Example state transition network dialog model.

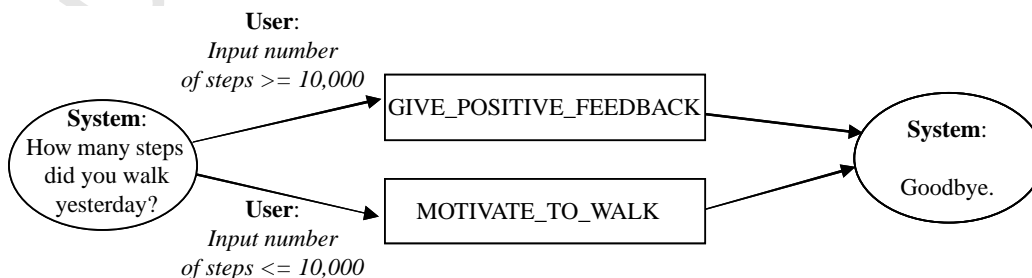


Fig. 4. Example hierarchical state transition network dialog model.

497 unconstrained conversation with a system, including all of  
498 the behavior observed in natural human–human conversa-  
499 tions. This behavior includes: unconstrained user input;  
500 mixed-initiative dialog, in which either the user or the sys-  
501 tem can take control of the conversation at any time; prop-  
502 er handling of interruptions and requests for clarifications;  
503 indirect speech acts; and, ultimately, the proper recogni-  
504 tion, display and use of nonverbal conversational behavior  
505 such as hand gesture.

506 The predominant approach taken to building these  
507 sophisticated dialog systems involves representing and rea-  
508 soning about the intentions that underlie system and user  
509 utterances, inferring the user’s goals and task plan, and  
510 dynamically synthesizing the system’s task plan. Inferring  
511 a user’s goals and task plan is necessary because, as exem-  
512 plified by indirect speech acts, people’s utterances do not  
513 always correspond directly to their communicative intent  
514 (e.g., as in “Do you have the time?”). Thus, plan-based the-  
515 ories of communicative action and dialog assume that the  
516 speaker’s speech acts are part of a plan, and the listener’s  
517 task is to infer it and respond appropriately to the underly-  
518 ing plan, rather than just to the utterance [34]. Synthesizing  
519 system task plans, including communicative and other  
520 actions, is necessary in complex applications in which all  
521 possible conversational contingencies (and their possible  
522 orderings) cannot be anticipated and scripted, but must  
523 be addressed in an incremental, reactive manner.

524 Dynamic planning and plan inference can be computa-  
525 tionally very complex, and thus have not been used much  
526 to date in fielded health dialog systems. However, they  
527 remain active areas of research in Artificial Intelligence,  
528 and a handful of health dialog systems that use these tech-  
529 niques have been developed for the application of clinical  
530 guidelines [35], for the automatic generation of reminders  
531 for older adults with cognitive impairment [36], for medica-  
532 tion advice [37], and for diet promotion [38]. Plan recogni-  
533 tion, and especially dialog planning systems have been  
534 developed to consider several types of information in  
535 sequencing dialog segments including task dependencies,  
536 rhetorical strategies, and conversational conventions. Some  
537 research has also been conducted into machine learning of  
538 dialog plans [39], but these approaches require large sam-  
539 ples of sample dialogs and have only been used for relative-  
540 ly simple planning problems to date.

#### 4.3.1. Example: COLLAGEN

541 As an example of a plan-based computational model of  
542 discourse, we briefly review the theory developed by Grosz  
543 and Sidner [11], later elaborated by Grosz and Kraus and  
544 Lochbaum [40,41], and implemented in the COLLAGEN  
545 dialog engine [42]. In this theory, discourse context is rep-  
546 resented by three elements:  
547

- Linguistic structure—the structure of the utterances that  
548 comprise a discourse, partitioned into discourse seg-  
549 ments, where the utterances in each segment are grouped  
550 according to intention (the Discourse Segment Purpose  
551 or DSP, representing the goal that the utterances relate  
552 to).  
553
- Intentional structure—represents relationships among  
554 the DSPs and the overall goal of the discourse (the Dis-  
555 course Purpose, DP). These relationships can be either  
556 sub-goal relationships (e.g., to conduct a conversation  
557 you need a greeting, a body and a farewell) or prece-  
558 dence relationships (e.g., the greeting precedes the body  
559 which precedes the farewell).  
560
- Attentional state—is an abstraction of the participants’  
561 focus of attention as their discourse unfolds. It is  
562 dynamic, recording the entities (typically objects  
563 referred to in noun phrases) that are salient at each point  
564 in the discourse. It is represented as a stack of ⟨DSP,  
565 focus space⟩ pairs, where the focus space represents  
566 the entities under discussion (“in focus”) during pursuit  
567 of the DSP. With each new discourse segment, a new  
568 pair is pushed onto the stack (possibly after other focus  
569 spaces are first popped off). One of the primary roles of  
570 the focus space is to constrain the range of DSPs to  
571 which a new DSP can be related, thus greatly simplifying  
572 the problem of plan recognition [43].  
573  
574

575 An example showing the state of a discourse in progress  
576 is given in Fig. 5. The discourse involves a physical activity  
577 promotion system, involving: a greeting (Opening); review  
578 of a client’s previous day’s exercise (DiscussPreviousDay);  
579 setting goals for the next day (DiscussNextDay); and pre-  
580 senting and discussing a self-monitoring graph depicting  
581 exercise progress over time (ShowGraph, DiscussGraph).  
582 The linguistic structure on the right shows (an excerpt) of  
583 the dialog, its partition into discourse segments, and the

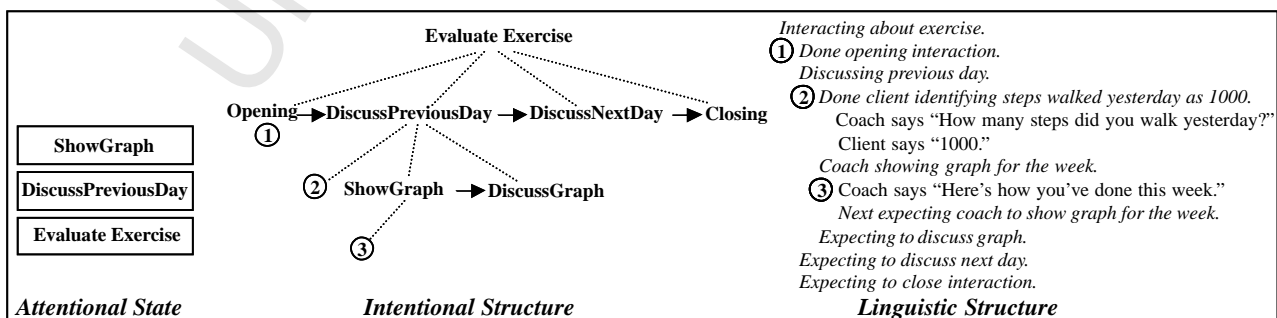


Fig. 5. Example discourse context in Grosz & Sidner’s model.

584 embedding relationships among them. The intentional  
585 structure in the middle shows the relationship among the  
586 DSPs corresponding to the discourse segments (with  
587 arrows representing the sequencing relationships among  
588 the DSPs and dashed lines representing decomposition  
589 relationships). The attentional state on the left shows the  
590 stack of DSP/focus space pairs at position (3) in the dialog.

591 The theory (and the COLLAGEN implementation) also  
592 includes algorithms for determining the user's task goals on  
593 the basis of their utterances and other actions (plan recog-  
594 nition) and the planning of system actions (including utter-  
595 ances) required to collaborate with the user on the task  
596 being performed.

#### 597 4.4. Utterance understanding and generation

598 Although the focus of this paper is on the discourse level  
599 of analysis in dialog systems, the issues of how individual  
600 user and system utterances will be recognized and pro-  
601 duced must be addressed in the course of their develop-  
602 ment. In this section, we provide a brief overview of the  
603 approaches to these functions most commonly used in  
604 fielded systems.

##### 605 4.4.1. Utterance understanding

606 Understanding user communicative intent on the basis  
607 of speech, text, and other input modalities, taking into  
608 account discourse context and world knowledge, is the  
609 single most difficult problem in developing dialog sys-  
610 tems, and is thus the aspect that is typically the most  
611 tightly constrained. One of the ways this is usually  
612 accomplished is by providing users a discourse context  
613 in each dialog state in which their choices of possible  
614 responses are obvious and small in number, such as  
615 when a system asks closed-ended (e.g., yes/no) questions.  
616 Given this, however, there are still a range of approaches  
617 to mapping user inputs onto the range of input options  
618 the system is able to handle.

619 The simplest way to constrain user responses to system  
620 prompts is to provide users with an exhaustive multiple  
621 choice list of input options. An input context-free gram-  
622 mar, usually specified for each dialog state, allows signifi-  
623 cantly more flexibility in specifying allowed user inputs.  
624 This format is typically used for recognizing everything  
625 from individual numbers and dates up to phrases and sen-  
626 tences, and is commonly used in Automatic Speech Recog-  
627 nition (ASR) systems. More sophisticated parsing  
628 techniques using more powerful grammars and probabilis-  
629 tic/empirical techniques are available, but tend to not be  
630 used in dialog systems in which the focus is on discourse  
631 issues and high accuracy in understanding user intent. Multi-  
632 modal input understanding—in which either nonverbal  
633 conversational behavior, such as hand gesture or alterna-  
634 tive input modalities, such as stylus gesture [44] are  
635 used—represents another active area of dialog system  
636 research, although little work has been done in the medical  
637 domain.

##### 4.4.2. Utterance generation

638 Text generation is the problem of transforming a logical  
639 representation into a natural language utterance [45]. The  
640 simplest form of utterance generation involves simply  
641 indexing a fixed string or pre-recorded speech utterance  
642 and producing this for the user. A slightly more sophisti-  
643 cated technique—and the one most often used in fielded  
644 systems—is template-based generation, in which a string  
645 is annotated with variables whose values are determined  
646 at run-time (e.g., “YOU WALKED <NumSteps> STEPS  
647 TODAY.”). In the most general case, text generation can  
648 involve word-by-word synthesis of utterances based on a  
649 grammar and dictionary, discourse context and world  
650 knowledge, although this level of sophistication is typically  
651 not required for most dialog system applications. Research  
652 has also been conducted into generation of multi-modal  
653 system outputs (speech or text plus accompanying nonver-  
654 bal behavior or graphics) although, as with multi-modal  
655 input understanding, this has not been used widely in  
656 health dialog systems to date.  
657

## 5. Deployment technologies

658 Health dialog systems may be deployed using a range of  
659 communication media. In this section, we provide an over-  
660 view of the technologies that have been used.  
661

### 5.1. World wide web

662 Among the deployment media for automated dialog sys-  
663 tems, the Internet offers a number of attractive features.  
664 The main issue of deployment of automated dialog systems  
665 is what technology to use at the user's endpoint. The more  
666 advanced communication medium one chooses, the more  
667 complex (and costly) is the deployment process and its  
668 maintenance if it requires any special “receiver” technol-  
669 ogy. This applies both to hardware (whatever device patients  
670 are required to physically interact with), as well as to any  
671 user-visible software possibly involved.  
672

673 Technologies that make use of client-server architec-  
674 tures are therefore preferable in situations in which ease  
675 of deployment is the most important factor. Among Inter-  
676 net-based technologies, web pages allow for very straight-  
677 forward implementation of *questionnaires* and written  
678 turn-based dialogs. Deployment is straightforward because  
679 web pages only require a web browser to be displayed at  
680 the client site, and this software is available more or less  
681 universally. The limiting factor may still be availability of  
682 Internet connection and computers themselves, especially  
683 for certain user groups (e.g., low income, older adult, etc.).

684 While the most natural deployment medium for speech-  
685 only dialog systems is via telephony, Internet technologies  
686 support multimodal interfaces featuring speech with simul-  
687 taneous graphical output, enabling the use of pictures, dia-  
688 grams, and animations. Proposed solutions for multimodal  
689 browsing can be divided into server- and client-side speech  
690 recognition. In the former, the bulk of the speech recogni-



691 tion process happens at the remote server site, by transmit-  
692 ting the voice signal over the internet [46]. Client side rec-  
693 ognition, instead, performs speech recognition on the  
694 user device; it therefore requires less bandwidth for the  
695 transmission of voice, but higher processing power. Client  
696 side recognition is endorsed by the W3C via the  
697 XHTML + Voice profile, related to VoiceXML [47]. Mul-  
698 timodal browsing is especially attractive for mobile devices,  
699 although still in its infancy.

## 700 5.2. Speech and telephony

701 A natural, technologically mature way to provide direct  
702 access to health communication interventions to patients  
703 from home is via their telephone, dialed into a specially  
704 equipped server computer. These systems are known as  
705 Interactive Voice Response (IVR). While it is possible to  
706 set up an inexpensive IVR system for relatively simple,  
707 low call volume applications, complex dialogue systems  
708 targeted at high volume applications can be very expensive  
709 to develop and deploy. Systems are typically built to deal  
710 with incoming calls (dial in)—but in some cases they can  
711 be deployed to automatically dial out connections and pro-  
712 cess them (once callee's privacy issues are addressed, of  
713 course).

714 IVR systems can communicate with users by playing  
715 messages over the telephone line. Such messages, or  
716 prompts, must be either pre-recorded by voice actors and  
717 stored inside the computer system or dynamically synthe-  
718 sized. Recorded prompts are usually natural and intelli-  
719 gible; however, the messages cannot be altered after being  
720 recorded, but only combined sequentially. This is a major  
721 drawback if one needs to convey to the user information  
722 that is evaluated at runtime: for example, large numbers,  
723 or even names that were not foreseen at the time when  
724 the system was built.

725 Text to speech (TTS) systems are a viable alternative for  
726 prerecorded voice prompts. TTS systems are able to trans-  
727 form an arbitrary text string into a sound signal, which can  
728 be played over the telephone line [48]. Since the synthesis  
729 process starts from the string, any utterance can be gener-  
730 ated, and TTS is required when system utterances are  
731 dynamically generated.

732 Users can communicate with IVR systems by pressing  
733 keys on touch tone phones. The vast majority of current  
734 telephones, including cellular phones, produce a known  
735 frequency combination when each key is depressed. The  
736 frequencies, commonly known as Dual Tone Multi Fre-  
737 quency (DTMF) or touch-tones, can be transmitted over  
738 channels made for carrying voice, and reliably detected  
739 by algorithms built into telephony hardware or software.  
740 For these reasons, DTMF signaling became a sensible  
741 means to acquire user input in IVR, allowing users to pro-  
742 vide feedback, for example, selecting items in a menu struc-  
743 ture presented during the progress of an automated call.  
744 The data that can be entered are necessarily limited to  
745 numeric quantities or codes and navigation is usually

746 restricted to a tree-like structure. Despite this somewhat  
747 cumbersome usage, controlled studies have shown such  
748 DTMF systems to be successful for in-home monitoring  
749 of patients with chronic diseases such as hypertension  
750 [49–51] and diabetes [52].

751 Automatic speech recognition (ASR) technology is now  
752 widely available and has been integrated into many IVR  
753 systems as an alternative to DTMF. The accuracy of  
754 ASR is still far from perfect, especially for certain types  
755 of users (e.g., for those with non-standard accents, older  
756 adults, or children) or dialog. Thus, speech input gram-  
757 mars—specifying what users can say at each dialog  
758 state—must be carefully designed, often using DTMF as  
759 a fallback. Unconstrained spoken input is possible, in prin-  
760 ciple, in dictation systems—but in practice it is not usable  
761 for IVR, since dictation systems need a lengthy training  
762 on the specific speaker (speaker-dependent recognition) to  
763 achieve satisfactory performance, and even with this, accu-  
764 racy is usually too low to be useful for health communica-  
765 tion. Grammars, instead, restrict the input space of  
766 utterances and make speaker-independent recognition of  
767 sentences over the telephone reliable enough for practical  
768 use.

769 A significant advance in the deployment of IVR systems,  
770 both keypad- and voice-based, has been the standard  
771 endorsed by the W3 Consortium (W3C). The standardiza-  
772 tion activity has yielded a dialog planning language, Voice-  
773 XML, and also standardized *grammar definition* languages,  
774 such as the Speech Recognition Grammar Format (SRGF).  
775 The W3C Voice Interaction group proposed an architecture  
776 for IVR systems which closely resembles that for standard  
777 web-based applications, the main difference being that the  
778 visual web browser (client), is replaced by a *voice browser*,  
779 which interprets a dialog description written in VoiceXML  
780 and conducts the interaction [33]. Dialog description and  
781 its linked grammars are served over the internet or intranet  
782 in a manner analogous to HTML pages and linked images.  
783 Detailed discussion of the languages and standards is outside  
784 of the scope of this paper; further details can be found, e.g., in  
785 [53]. Programming VoiceXML can be cumbersome, result-  
786 ing in a growing number of commercial tools for authoring  
787 VoiceXML documents and approaches to dynamically gener-  
788 ating these documents [54].

### 789 5.2.1. Example: HOMEY

790 The HOMEY project was funded in 2001 by the Euro-  
791 pean Union with the aim to advance research in spoken  
792 dialog systems applied to enhance communication between  
793 specialist health centers and patients with chronic diseases  
794 [55]. The project resulted in three demonstrators: (1) one  
795 for monitoring patients affected by hypertension [55], (2)  
796 a second for studying automated dialog planning from  
797 ontologies and computerized guidelines [35], and (3) a  
798 PDA-based multimodal electronic patient record interface  
799 [46]. This section gives a short account of the first system;  
800 the second is addressed by Beveridge and Fox in a separate  
801 paper in this issue.

802 The HOMEY hypertension system enables patients to  
 803 self-report clinical values and possible medication side  
 804 effects via a telephone-based, mixed initiative spoken dialog  
 805 system. It also provides simple educational messages and  
 806 serves as a reminder for clinical tests and scheduled  
 807 appointments. Data entered by patients is reported to phy-  
 808 sicians through a web-based electronic medical record,  
 809 which is integrated with the system. This self-reported data  
 810 is stored and displayed along with data entered by physi-  
 811 cians from face-to-face encounters.

812 Hardware and speech recognition software, and the pro-  
 813 prietary dialog scripting language, were provided by pro-  
 814 ject partners, while the development of the application  
 815 itself (the dialog scripts) and the web-based patient record  
 816 has been co-designed together with knowledge engineers  
 817 and medical specialists.

818 The hypertension prototype was subject to two pre-de-  
 819 ployment tests with volunteers, which were used to assess  
 820 ergonomic aspects, including dialog adaptation and refine-  
 821 ments of language models. The system was finally used by  
 822 two hospitals in a controlled clinical trial that lasted  
 823 approximately one year (6 months between enrollment  
 824 and follow-up for each patient). Results indicated that  
 825 24-h averaged blood pressure values decreased more in  
 826 the dialog-system treatment group compared to a control  
 827 group ( $p < 0.1$ ).

### 828 5.3. Embodied conversational agents

829 Embodied Conversational Agents (ECAs) are animated  
 830 humanoid computer-based characters that use speech, eye  
 831 gaze, hand gesture, facial expression, and other nonverbal  
 832 modalities to emulate the experience of human face-to-face  
 833 conversation with their users [56]. Such agents can provide  
 834 a "virtual consultation" with a simulated health provider,  
 835 offering a natural and accessible source of information  
 836 for patients. These agents represent one form of multimod-  
 837 al dialog system, in which the nonverbal modalities are rec-  
 838 ognized and produced in addition to accompanying text or  
 839 speech, to more fully understand the user's communicative  
 840 intent. In addition to carrying additional factual informa-  
 841 tion, nonverbal behavior is also used in face-to-face con-  
 842 versation to regulate the interaction structure itself, for  
 843 example, gaze and intonation to regulate turn-taking  
 844 behavior, body position and orientation to regulate conversa-  
 845 tion initiation and termination.

846 In addition to the FitTrack system described below, sev-  
 847 eral ECAs have been developed for use in health dialog sys-  
 848 tems, for applications spanning training in human subjects  
 849 consenting procedures [57], training in coping skills for  
 850 caregivers of children with cancer (deployed on both desk-  
 851 tops and PDAs [58]), and diet behavior change. These sys-  
 852 tems vary greatly in their linguistic capabilities, input  
 853 modalities (most are mouse/text/speech input only), and  
 854 task domains, but all share the common feature that they  
 855 attempt to engage the user in natural, full-bodied (in some  
 856 sense) conversation.

#### 5.3.1. Example: FitTrack

857 The FitTrack system was developed to investigate the  
 858 ability of an ECA to establish and maintain a long-term ther-  
 859 apeutic alliance with users, and to determine if these relation-  
 860 ships could be used to increase the efficacy of health  
 861 communication and health behavior change programs deliv-  
 862 ered by the agent [59,60]. An ECA was expected to be partic-  
 863 ularly effective at relational communication, given that most  
 864 human relationships are formed and maintained in face-to-  
 865 face conversation where nonverbal behavior can be used to  
 866 communicate and assess the social aspects of the interaction.  
 867 In the FitTrack system, the ECA uses nonverbal behavior to  
 868 convey propositional, interactional, affective and attitudinal  
 869 information in addition to the speech channel.  
 870

871 The ECA, named "Laura," played the role of an exercise  
 872 advisor who motivated sedentary adults to obtain the mini-  
 873 mum level of physical activity recommended by current pub-  
 874 lic health guidelines [61] over a two-month period of time.  
 875 The dialog was modeled using augmented transition net-  
 876 works, with dynamic multiple choice inputs by users and  
 877 embodied conversational agent output (synthesized speech  
 878 and synchronized nonverbal conversational behavior dis-  
 879 played by an animated agent). The system was designed to  
 880 run on standard home desktop computers so that partici-  
 881 pants could interact with the system on a daily basis.

882 The appearance and nonverbal behavior of the exercise  
 883 advisor was based on a review of relevant literature and a  
 884 series of pre-test surveys. Fig. 6 shows the character and  
 885 user interface. The system used the BEAT text-to-embod-  
 886 ied-speech translator [62] to generate nonverbal behavior  
 887 for the agent, including hand gestures, posture shifts, head  
 888 nods, gaze and eyebrow behavior, immediacy behavior  
 889 (liking or disliking of one's conversational participant dem-  
 890 onstrated through nonverbal behaviors such as proximity  
 891 and gaze [63,64]) and nonverbal signaling of different con-  
 892 versational frames [65] (health dialog, social dialog, empa-  
 893 thetic dialog, and motivational dialog).

894 FitTrack was successfully used in two randomized clin-  
 895 ical trials, one involving MIT students and the second an  
 896 urban, older adult population.

#### 5.4. Robots

897 There is an emerging interest in developing autonomous,  
 898 mobile robotic systems that can interact with users to per-  
 899 form various health-related tasks. Many of these robots  
 900 include some speech-based natural language dialog capa-  
 901 bility, although they appear to be mostly very simplistic  
 902 from a dialog systems perspective. Example applications  
 903 include robotic nurse spirometry assistants for post-cardiac  
 904 surgery patients [66], arm motion rehabilitation for stroke  
 905 patients [67], and eldercare [68].  
 906

## 6. Development methodologies

907 The development methodologies used in dialog systems  
 908 research depends very heavily upon the type of technology  
 909

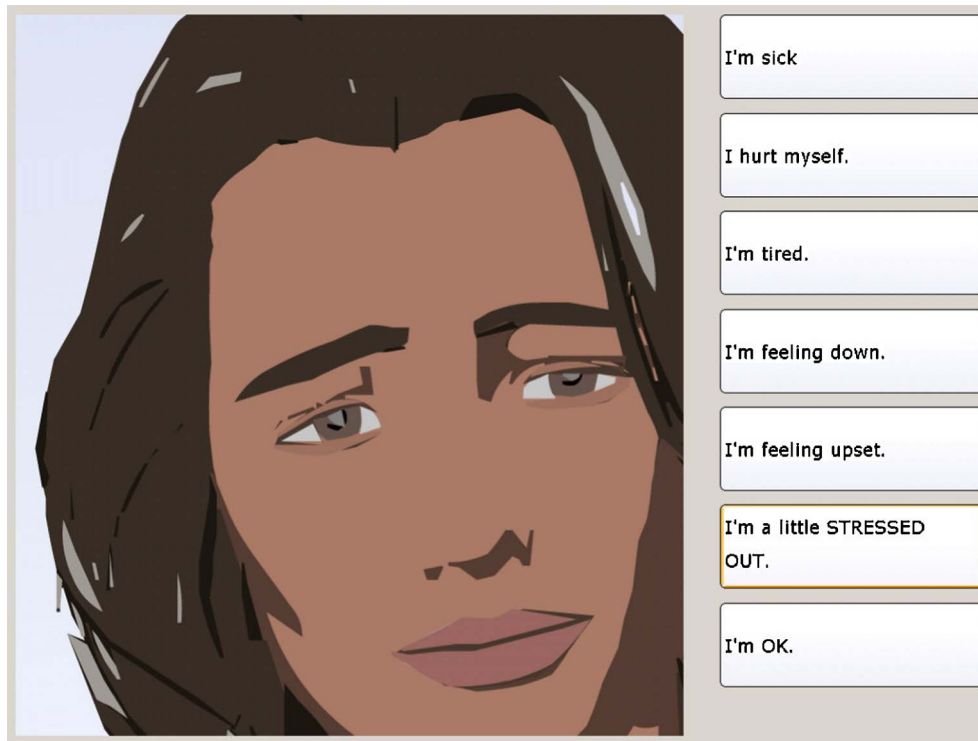


Fig. 6. FitTrack embodied conversational agent.

910 and underlying models employed. Development of all  
 911 kinds of dialog systems often begins with the collection  
 912 and analysis of sample dialogs between real people (e.g.,  
 913 between health providers and patients). The resulting  
 914 recordings (audio or video) are transcribed and subjected  
 915 to discourse analysis [69]. This analysis results in a charac-  
 916 terization of the range of concepts, terms, and syntax typi-  
 917 cally used in patient–provider communication, in addition  
 918 to the range of topics discussed, the types of questions  
 919 asked, and the overall conversation structure and sub-dia-  
 920 log structure used. Much of this process is analogous to the  
 921 knowledge engineering methodology followed in the devel-  
 922 opment of expert systems. Typically, full characterization  
 923 of dialogs is achieved through a combination of literature  
 924 review, discourse analysis, and direct authoring of scripts  
 925 by expert providers.

926 Another method that is widely used in dialog system  
 927 development is the “Wizard-Of-Oz” technique, in which  
 928 (unbeknownst to test subjects) a human confederate replac-  
 929 es some or all of a dialog system’s functionality during live  
 930 interactions between subjects and the system [70]. Dialog  
 931 from these sessions is recorded and analyzed for several  
 932 purposes, including: early characterization of domain dia-  
 933 logs; characterization of user responses in particular con-  
 934 texts of interest; assessment of user acceptance of and  
 935 attitude towards a planned system; and assessment of util-  
 936 ity and efficacy of a planned system. Although ideally,  
 937 user–system interaction will closely follow provider–patient  
 938 interaction, it has been observed that in many situations  
 939 users speak and otherwise behave differently when interact-  
 940 ing with a computerized system than with another human

(e.g., they simplify their speech patterns) [71]. In these sit-  
 941 uations, Wizard-of-Oz testing is particularly important,  
 942 since the study of provider–patient interaction will not cor-  
 943 rectly characterize these dialogs.  
 944

The underlying model to be built into the dialog system  
 945 also influences development. State-based and grammar-  
 946 based dialog systems are designed with a focus on charac-  
 947 terizing the surface level of the dialog and a small number  
 948 of relatively large-grained variations in dialog structure.  
 949 This effort can proceed from the collected corpora, from  
 950 one or more providers who author the grammars or net-  
 951 works directly, or by a linguist/knowledge engineer who  
 952 interviews one or more providers and develops the gram-  
 953 mar. Development of plan-based dialog systems is much  
 954 more involved, and requires deeper modeling of relevant  
 955 ontologies and knowledge structures in the domain, as well  
 956 as the development of dialog plan fragments.  
 957

Finally, development of dialog systems that are going to  
 958 be fielded, for example for use in a clinical trial, requires  
 959 extensive pre-testing and iterative refinement to ensure that  
 960 the resulting system is both functional and natural.  
 961

## 7. Evaluation methodologies 962

There are three broad approaches to the evaluation of  
 963 health dialog systems (as compared with other kinds of sys-  
 964 tems in medical informatics [72]). First, qualitative and  
 965 quantitative evaluation of a single user–system conversa-  
 966 tion—focusing on issues such as accuracy, efficiency, and  
 967 subjective user evaluation—can be performed using a vari-  
 968 ety of methods and instruments. Second, and perhaps  
 969



unique to health dialog systems, is the analysis of usage patterns over time—how often users choose to conduct interactions, whether these taper off over time, etc.—and how these patterns are affected by features of the dialog system and how, in turn, they affect health outcomes. Finally, evaluation of the efficacy of health dialog systems can be established through standard randomized clinical trial methodologies. In practice, researchers whose backgrounds are in the medical professions tend to focus primarily on the last type of evaluation, while those in computational linguistics tend to focus primarily on the first. Ideally, multiple forms of evaluation should be used throughout the development lifecycle to ensure the most efficacious system.

In addition to these task- and outcome-oriented assessments, it may also be important to evaluate the psychological aspects of interactions between users and a health dialog system. Very little work has been to date in this area. It may be important to assess user attitudes towards a system after some period of use: qualitative methods (as in [26]) and standardized measures of patient–provider relationship (as used in [73]) may be used for this purpose. We know of no cognitive evaluations of conversations between users and health dialog systems (e.g., of the form done in [74]). However, as these systems move away from scripting technologies and incorporate dialog planners that synthesize language from explicit knowledge representations (as discussed in Section 4.3), “cognitive analysis” of the machine’s knowledge should become a simple matter of inspection.

### 7.1. Dialog performance evaluation

One of the most mature methods for evaluating dialog system performance is provided by the PARADISE framework [75]. PARADISE uses a decision-theoretic framework to combine evaluations of system accuracy (success rate at achieving desired conversational outcomes) with the “costs” of using a system—comprised of quantitative efficiency measures (number of dialog turns, conversation time, etc.) and qualitative measures (e.g., number of repair utterances)—to yield a single quality measure for a given interaction. Weights for the various elements of the evaluation are determined empirically from overall assessments of user satisfaction for a sample set of conversations, and the evaluation formula can be applied to sub-dialogs as well as to entire conversations to enable identification of problematic dialog fragments.

Two other qualitative evaluation methods were developed on the TRINDI and DISC projects. They provide criteria for evaluating a dialog system’s competence in handling certain dialog phenomena. The TRINDI Tick-List consists of three sets of questions that are intended to elicit explanations describing the extent of a system’s competence [76]. The first set consists of eight questions relating to the flexibility of dialog that a system can handle. For example, the question “Can the system deal with answers to questions that give more information than

was requested?” assesses whether the system has any ability to handle mixed-initiative dialog. The DISC Dialog Management grids [77] include a set of nine questions, similar to the Trindi Tick-List, that are intended to elicit some factual information regarding the potential of a dialog system.

Since it is desirable to perform extensive evaluation of health dialog systems prior to using them in expensive clinical trials, they are often evaluated by volunteers who are given scripts and asked to interact with a system to perform a series of “real life tasks.” These users have to find their way through the system interaction in order to accomplish the task.

Evaluation may also be conducted on the basis of call logs in telephony systems that record conversations between users and the system. These recordings can be listened to and annotated by human expert evaluators, but at the expense of effort and time. Woodbridge [78] describes how telemedicine interactions can be scored via a hand-crafted algorithm, while Giorgino [55] proposes to apply supervised machine learning algorithms to reproduce human-provided numeric annotations, based on attributes that can be gathered automatically.

### 7.2. Evaluating patterns of use

Health communication applications in general, and health behavior change applications in particular, require multiple contacts with a user over extended periods of time. In these systems, it is the user’s decision whether to conduct a given conversation with the system or not, even if the conversations are system initiated. Acquisition of such usage data for many users over extended periods of time results in datasets that can be analyzed to determine: typical usage patterns; correlations between system or user characteristics and usage; and correlations between system usage and outcomes (dose–response relationships). These are important objects of study, because they can inform the design of future systems that users like interacting with (maximizing usage) or which are most efficacious (maximizing outcomes) or, ideally, both.

This is a nascent area of research, but there have already been a few published studies. Farzanfar partitioned users of a telephone-based physical activity promotion system into five usage groups: (1) those who adhered to the recommended call schedule (twice weekly for 3 months) at least 80% of the time; (2) those who used the system throughout the three months but intermittently; (3) those who used the system consistently for a while but then discontinued use; (4) those who only used the system zero or one time; and (5) those who had one or more incomplete calls [22]. Differences between these groups were found in both outcomes and self-reported system evaluations. For example individuals in the intermittent group (2) had the highest ratio of satisfied users and better reported outcomes both in terms of physical activity levels and perceived benefits, compared to the other groups. Giorgino made similar observations in analysis of the call data from the HOMEY system [55].



1080 7.3. *Randomized clinical trials*

1081 As the ultimate objective of the majority of health dialog  
 1082 systems is to affect the health of its users, the evaluation of  
 1083 these systems involves randomized clinical trials in which  
 1084 they are compared (typically) to standard-of-care condi-  
 1085 tions and evaluated using the same outcome measures that  
 1086 would be used in a trial involving any other health inter-  
 1087 vention technology or method. The vast majority of  
 1088 NIH-funded health dialog systems have been evaluated in  
 1089 this manner. The only differences between a study involv-  
 1090 ing an automated dialog system and one involving human  
 1091 health providers are: study eligibility criteria usually specify  
 1092 that subjects must speak a particular language (since most  
 1093 projects do not have the resources to produce multi-lingual  
 1094 systems); subjects have access to the terminal device  
 1095 required (phone, home computer, etc.) or are provided  
 1096 one for the study; and they have the cognitive and physical  
 1097 ability to use the system. Subjects in dialog systems studies  
 1098 are also either provided an initial training session and/or  
 1099 printed materials describing how to access and use the sys-  
 1100 tem initially. Given the amount of longitudinal data typi-  
 1101 cally collected in these studies, longitudinal data analysis  
 1102 methodologies are normally employed in addition to stan-  
 1103 dard before-and-after (or baseline/end-of-intervention/fol-  
 1104 low-up) comparisons [79].

1105 8. *Efficacy of formally evaluated systems*

1106 A number of health dialog systems to deliver health edu-  
 1107 cation or effect health behavior change have been devel-  
 1108 oped and successfully evaluated in randomized clinical  
 1109 trials, with the results generally demonstrating significant  
 1110 improvements in health outcomes over standard-of-care  
 1111 or no-intervention control conditions, and in many cases  
 1112 demonstrating outcomes equivalent to similar interven-  
 1113 tions by human health providers.

1114 Revere and Dunbar conducted a meta-review of 37 eval-  
 1115 uation studies involving generation of print-based health  
 1116 educational materials, and telephone-based and comput-  
 1117 er-based health dialog system interventions [80]. These sys-  
 1118 tems provide health behavior change information to users  
 1119 based on a wide variety of health behavior theories (e.g.,  
 1120 the stages of change model [81], the health belief model  
 1121 [82], and social cognitive theory [83]), and were applied  
 1122 to a number of health behaviors (physical activity promo-  
 1123 tion, diet adherence, medication regimen adherence, smok-  
 1124 ing cessation, chronic disease self-management, and  
 1125 others). The authors found that 33 of the 37 studies report-  
 1126 ed improved outcomes and 20 of these (60.6%) were statis-  
 1127 tically significant. The authors also concluded that tailored  
 1128 interventions—those whose messages are based on a specif-  
 1129 ic individual's characteristics—generally outperformed  
 1130 interventions that were generic, targeted (developed for a  
 1131 specific subgroup of the population), or just personalized  
 1132 (included the user's name in the messages). Of the studies  
 1133 reviewed, only 13 could be considered true dialog systems

(i.e., communicated using interactive utterance exchanges  
 with a user), but of these 11 (85%) reported statistically sig-  
 nificant improvements in health outcomes.

8.1. *Evaluation of IVR systems*

One meta-review, specifically focused on outcome stud-  
 ies of IVR-based systems published during years 1989–2000  
 is provided by [84]. The reviewers exhaustively took into  
 consideration 54 studies concerning health-related DTMF  
 systems, published in peer-reviewed journals. (It is however  
 not clear how many distinct systems they are related to.)  
 The first interesting point of the review is that the papers  
 were grouped by intervention area, thus providing a useful  
 synopsis of the intervention types to which these systems  
 have been applied. Authors also identified common fea-  
 tures which make IVR systems applicable for healthcare  
 interventions, including: absence of interviewer bias, low  
 cost per interview, automatic and continuous operation,  
 and greater confidentiality. Positive outcomes were report-  
 ed according to different intervention areas: change in  
 screening habits and self-reported satisfaction with the sys-  
 tem for telephone-based information services; increased  
 treatment compliance and child immunization rates for  
 reminder calls about children immunization and other  
 appointments; reduced hemoglobin readings for diabetic  
 patients in chronic disease monitoring; and more faithful  
 reporting of misbehaviors in behavior assessment. Not all  
 of the studies examined were controlled, and some inter-  
 ventions which were did not show statistically significant  
 improvements. Insufficient IVR compliance was noted in  
 several studies.

Another review [85] explicitly focused on IVR interven-  
 tions for management of chronic disease conditions. This  
 review concludes that, while there are still few peer-re-  
 viewed evaluations of the impact of IVR-supported disease  
 management systems, “those that have been conducted  
 indicate that some outcomes can be moderately improved.”

Finally, the clinical effectiveness of educational voice  
 messages has been assessed by another recent meta-review  
 [36], which concludes that among 19 studies considered (of  
 which 16 were controlled), “more than 80% of studies  
 showed significant impact upon measurable health  
 outcomes.”

One series of IVR systems and studies deserve special  
 mention: the Telephone-Linked Care (TLC) systems devel-  
 oped by Friedman and colleagues at Boston University  
 over the last 20 years. These systems are developed primar-  
 ily using two-level augmented transition networks, record-  
 ed speech output, and either DTMF or ASR for user input.  
 TLC behavior change applications have been applied to  
 changing dietary behavior [86], promoting physical activity  
 [87], smoking cessation [88], and promoting medication  
 adherence in patients with depression [89] and hyperten-  
 sion [18]. TLC chronic disease applications have been  
 developed for chronic obstructive pulmonary disease  
 (COPD) [90], and coronary heart disease, hypercholester-  
 n-

1189 emia, and diabetes mellitus [18]. All of these systems have  
1190 been evaluated in randomized clinical trials and most were  
1191 shown to be effective on at least one outcome measure,  
1192 compared to standard-of-care or non-intervention control  
1193 conditions.

## 1194 8.2. Evaluation of ECA systems

1195 An evaluation of the FitTrack physical activity advisor  
1196 agent was conducted in a randomized study comparing col-  
1197 lege-aged subjects who conducted daily dialogs with the  
1198 agent with subjects who simply kept track of their physical  
1199 activity (time estimates and pedometer steps) [25]. Subjects  
1200 who interacted with the agent increased their number of  
1201 days per week during which they had 30 min or more of  
1202 moderate-or-greater intensity physical activity, compared  
1203 to subjects in the CONTROL condition,  $t(86) = 1.98$   
1204  $p < .05$ . A second study evaluated FitTrack for an urban,  
1205 older adult population, in which subjects who interacted  
1206 with the agent were compared to a standard of care (print  
1207 materials and pedometer only) control group [91]. The esti-  
1208 mated slope of pedometer steps over the two-month study  
1209 duration (increase per week in mean weekly steps walked)  
1210 was significantly greater for the intervention group than  
1211 the control group ( $p = 0.004$ ).

## 1212 9. Conclusion and future directions

1213 There is a growing body of research on the development  
1214 and evaluation of systems which can interview patients and  
1215 consumers about their health and provide health informa-  
1216 tion and counseling using natural language dialog. The  
1217 formal evaluation of many of these systems has demon-  
1218 strated that they are effective compared to standard-of-care  
1219 controls and, in some cases, are as effective as human  
1220 health providers (e.g., [92]). These systems have the poten-  
1221 tial to reach large numbers of users at relatively low cost,  
1222 resulting in the potential for high impact on population  
1223 health. At the same time, health dialog represents a chal-  
1224 lenging and important application domain for dialog  
1225 system researchers, with many features—such as repeated  
1226 contacts over extended periods of time—relatively unique  
1227 to the domain.

1228 There are many future directions for research in health  
1229 dialog systems that are currently being pursued. One of  
1230 the most important is the further development of  
1231 plan-based dialog systems that incorporate medical and  
1232 behavioral ontologies and deep knowledge of health com-  
1233 munication strategies. The use of standard, underlying  
1234 ontologies will allow the theory-level knowledge in these  
1235 systems to be shared and validated, and to be directly com-  
1236 pared in a meaningful manner. On a more practical level,  
1237 the lack of model-based representations in these systems  
1238 limits their scalability, tailorability, and adaptability, and  
1239 requires that every new intervention be developed from  
1240 scratch, requiring months of duplicated effort when teams  
1241 of behavioral scientists write dialog scripts for a new appli-

cation, even if it is only a slight variant of a previously 1242  
developed system. 1243

Other promising directions of research include the 1244  
increasing use of multi-modal dialog, including both 1245  
embodied conversational agents and other systems that 1246  
support elements of natural face-to-face conversation, as 1247  
well as systems that use other modalities such as speech 1248  
and pen-based input. Properly conducting the affective 1249  
and empathic dimensions of provider–patient communica- 1250  
tion represents a significant challenge, as is the mainte- 1251  
nance of engagement over many interactions. 1252

Multi-party dialog is understudied in both linguistics 1253  
and computational linguistics, but represents a potentially 1254  
important area of future research for health dialog systems. 1255  
Some health behavior change systems have already been 1256  
developed that interact with multiple members of a house- 1257  
hold (e.g., to increase medication adherence in childhood 1258  
asthma [93]), and this type of intervention represents a 1259  
promising avenue for effecting change through social sup- 1260  
port. Systems to support case management nurses in their 1261  
telephone consultations with patients have also been devel- 1262  
oped, and the development of systems that can support 1263  
3-way, real-time conversations between nurses, patients, 1264  
and a dialog system that can offload routine parts of these 1265  
interactions also represents an interesting area of inquiry. 1266  
However, much more work remains to be done in this area. 1267

Finally, the use of mobile devices (e.g., cellular phones) 1268  
provides the opportunity for automated systems to dialog 1269  
with patients “anywhere, anytime.” When coupled with 1270  
real-time sensors, these systems can provide pro-active 1271  
health messaging at the time of need (e.g., when a user is 1272  
starting a bout of exercise or lighting up a cigarette). Devel- 1273  
oping health behavior change systems that can maintain a 1274  
persistent and continuous dialog with patients about their 1275  
health behavior, incorporating awareness of the user and 1276  
their environment, providing comfort and empathy in 1277  
addition to tailored and theory-driven pragmatic advice, 1278  
and tying in human health providers when needed may still 1279  
be science fiction, but it represents a grand goal to work 1280  
towards. 1281

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