PART I

System Foundations
Chapter 2

Beliefs, Values, and Health

Learning Objectives

- To understand the concepts of health and disease
- To examine the determinants of health
- To explore the American beliefs and values related to the delivery of health care
- To appreciate the implications of the meaning of health, its determinants, and beliefs and values for medical care delivery
- To develop a position on the equitable distribution of health care services
- To explore the efforts undertaken to integrate individual and community health
- To understand the basic measures of health status and health services utilization

“This is the market justice system. Social justice is over there.”
Introduction

From an economic perspective, curative medicine appears to produce decreasing returns in health improvement while increasing health care expenditures (Saward and Sorensen 1980). There has also been a growing recognition of the benefits to society from the promotion of health and prevention of disease, disability, and premature death. However, progress in this direction has been slow because of the prevailing social values and beliefs that still focus on curing diseases rather than promoting health. The common definitions of health, as well as measures for evaluating health status, reflect similar inclinations. This chapter proposes a holistic approach to health, although such an ideal would be quite difficult to fully achieve. For example, it is not easy for a system to enact a change in personal lifestyles and behaviors among the population. Regardless, the health care delivery system must allocate resources and take other measures to bring about a change in course. The 10-year Healthy People initiatives, undertaken by the US Department of Health and Human Services (DHHS) since 1980, illustrate steps taken in this direction, even though these initiatives have been typically strong in rhetoric but weak in actionable strategies or the necessary funding.

Beliefs and values ingrained in the American culture have been influential in laying the foundations of a system that has remained predominantly private, as opposed to a tax-financed national health care program. Discussion on this theme begins in this chapter and continues in Chapter 3, where failures of past proposals to create a nationalized health care system are discussed in the context of cultural beliefs and values. Social norms also help explain how American society views illness and the expectations it has of those who are sick.

This chapter further explores the issue of equity in the distribution of health services, using the contrasting theories of market justice and social justice. The conflict between the principles of market and social justice is reflected throughout US health care delivery. For the most part, strong market justice values prevail, although some components of health care delivery in the United States reflect social justice values. This chapter concludes with an overview of measures commonly used to understand the health status of a population.

Significance for Managers and Policymakers

Materials covered in this chapter have several implications for health services managers and policymakers: (1) The health status of a population has tremendous bearing on the utilization of health services, assuming the services are readily available. Planning of health services must be governed by demographic and health trends and initiatives toward reducing disease and disability. (2) The basic meaning of health, determinants of health, and health risk appraisal should be used to design appropriate educational, preventive, and therapeutic initiatives. (3) There is a growing emphasis on evaluating the effectiveness of health care organizations based on the contributions they make to community and population health. The concepts discussed in this chapter can guide administrators in implementing programs of most value to their communities. (4) The exercise of justice and equity in making health care available to
all Americans remains a lingering concern. This monumental problem requires a joint undertaking from providers, administrators, policymakers, and other key stakeholders.

(5) Quantified measures of health status and utilization can be used by managers and policymakers to evaluate the adequacy and effectiveness of existing programs, plan new strategies, measure progress, and discontinue ineffective services.

**Basic Concepts of Health**

**Health**

In the United States, the concepts of health and health care have largely been governed by the medical model, more specifically referred to as the biomedical model. The medical model defines health as the absence of illness or disease. This definition implies that optimum health exists when a person is free of symptoms and does not require medical treatment. However, it is not a definition of health in the true sense but rather a definition of what ill health is not (Wolinsky 1988). This prevailing view of health emphasizes clinical diagnose and medical interventions to treat disease or symptoms of disease, while prevention of disease and health promotion are relegated to a secondary status. Therefore, when the term “health care delivery” is used, in reality it refers to medical care delivery.

Medical sociologists have gone a step further in defining health as the state of optimum capacity of an individual to perform his or her expected social roles and tasks, such as work, school, and doing household chores (Parsons 1972). A person who is unable (as opposed to unwilling) to perform his or her social roles in society is considered sick. However, this concept also tends to view health negatively, because many people continue to engage in their social obligations despite suffering from pain, cough, colds, and other types of temporary disabilities, including mental distress. In other words, a person’s engagement in social roles does not necessarily signify that the individual is in optimal health.

An emphasis on both physical and mental dimensions of health is found in the definition of health proposed by the Society for Academic Emergency Medicine, according to which health is “a state of physical and mental well-being that facilitates the achievement of individual and societal goals” (Ethics Committee, Society for Academic Emergency Medicine 1992). This view of health recognizes the importance of achieving harmony between the physiological and emotional dimensions.

The World Health Organization’s (WHO) definition of health is most often cited as the ideal for health care delivery systems. WHO defines health as “a state of complete physical, mental and social well-being and not merely the absence of disease or infirmity” (WHO 1948). Since it includes the physical, mental, and social dimensions, WHO’s model can be referred to as the biopsychosocial model of health. WHO’s definition specifically identifies social well-being as a third dimension of health. In doing so, it emphasizes the importance of positive social relationships. Having a social support network is positively associated with life stresses, self-esteem, and social relations. The social aspects of health also extend beyond the individual level to include responsibility for the health of entire communities and populations. WHO’s definition recognizes that optimal health is more than a mere absence of disease or infirmity.
WHO has also defined a health care system as all the activities whose primary purpose is to promote, restore, or maintain health (McKee 2001). As this chapter points out, health care should include much more than medical care. Thus, **health care** can be defined as a variety of services believed to improve a person’s health and well-being.

In recent years, there has been a growing interest in **holistic health**, which emphasizes the well-being of every aspect of what makes a person whole and complete. Thus, **holistic medicine** seeks to treat the individual as a whole person (Ward 1995). For example, diagnosis and treatment should take into account the mental, emotional, spiritual, nutritional, environmental, and other factors surrounding the origin of disease (Cohen 2003).

Holistic health incorporates the spiritual dimension as a fourth element—in addition to the physical, mental, and social aspects—as necessary for optimal health (Figure 2–1). A growing volume of medical literature points to the healing effects of a person’s religion and spirituality on morbidity and mortality (Levin 1994). Numerous studies point to an inverse association between religious involvement and all-cause mortality (McCullough et al. 2000). Religious and spiritual beliefs and practices have shown a positive impact on a person’s physical, mental, and social well-being. These beliefs and practices may affect the incidences, experiences, and outcomes of several common medical problems (Maugans 1996). For instance, people with high levels of general religious involvement are likely to suffer less from depressive symptoms and disorders (McCullough and Larson 1999). Spiritual well-being has also been recognized as an important internal resource for helping people cope with illness. For instance, a study conducted at the University of Michigan found that 93% of the women undergoing cancer treatment indicated that their religious lives helped them sustain their hope (Roberts et al. 1997). Studies have found that a large percentage of patients want their physicians to consider their spiritual needs, and almost half expressed a desire for the physicians to pray with them if they could (see Post et al. 2000). However, many physicians feel that spiritual matters fall outside their expertise or that they would be intruding into patients’ private lives. Also, ethical issues and religious coercion are valid concerns, and referral to a chaplain or pastoral leader is often a more appropriate alternative (Post et al. 2000).

The spiritual dimension is frequently tied to one’s religious beliefs, values, morals, and practices. Broadly, it is described as meaning, purpose, and fulfillment in life; hope and will to live; faith; and a person’s relationship with God (Marwick 1995; Ross 1995; Swanson 1995). A clinically tested scale to measure spiritual well-being included categories such as belief in a power greater than oneself, purpose in life, faith, trust in providence, prayer, meditation, group

![Figure 2–1 The Four Dimensions of Holistic Health.](image-url)
Risk Factors and Disease

The occurrence of disease involves more than just a single factor. For example, the mere presence of tubercle bacillus does not mean the infected person will develop tuberculosis. Other factors, such as poverty, overcrowding, and malnutrition, may be essential for development of the disease (Friedman 1980). Hence, tracing risk factors—attributes that increase the likelihood of developing a particular disease or negative health condition in the future—requires a broad approach. One useful explanation of disease occurrence (for communicable diseases, in particular) is provided by the tripartite model, sometimes

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Behavioral Risk Factors

Certain individual behaviors and personal lifestyle choices represent important risk factors for illness and disease. For example, smoking has been identified as the leading cause of preventable disease and death in the United States, because it significantly increases the risk of heart disease, stroke, lung cancer, and chronic lung disease (DHHS 2004). Substance abuse, inadequate physical exercise, a high-fat diet, irresponsible use of motor vehicles, and unsafe sex are additional examples of behavioral risk factors. (Table 2–1 presents the percentage of the US population with selected behavioral risks.)

Acute, Subacute, and Chronic Conditions

Disease can be classified as acute, subacute, or chronic. An acute condition is relatively severe, episodic (of short duration), and often treatable and subject to recovery. Treatments are generally provided in a hospital. Examples of acute conditions are a sudden interruption of kidney function or a myocardial infarction (heart attack). A subacute condition is a less severe phase of an acute illness. It can be a postacute condition, requiring treatment after discharge from a hospital. Examples include ventilator and head trauma care. A chronic condition is a less severe phase of an acute illness. It can be a postacute condition, requiring treatment after discharge from a hospital. Examples include ventilator and head trauma care. A chronic condition is one that persists over time, is not severe, but is generally irreversible. A chronic condition may be kept under control through appropriate medical treatment, but if left untreated, the condition may lead to severe and life-threatening health problems. Examples of chronic conditions are hypertension, asthma, arthritis, heart disease, and diabetes. Contributors to chronic disease include ethnic, cultural, and behavioral factors and...
It is estimated that 75% of total health expenditures in the United States are attributable to the treatment of chronic conditions (PFCD 2009). In 2007, total health care costs associated with the treatment of chronic diseases were approximately $1.7 trillion. In addition, health disparities continue to be a serious threat to the health and well-being of some population groups. For example, African American, Hispanic, American Indian, and Alaskan Native adults are twice as likely as white adults to have diabetes (CDC 2010a).

There are three main reasons behind the rise of chronic conditions in the US population: (1) New diagnostic methods, medical procedures, and pharmaceuticals have significantly improved the treatment of acute illnesses, survival rates, and longevity, but these achievements have come at the consequence of a larger number of people living the social and physical environment, discussed later in this chapter.

In the United States, chronic diseases have become the leading cause of death and disability. According to the Centers for Disease Control and Prevention (CDC), almost 50% of Americans have at least one chronic illness, and 7 out of every 10 deaths are attributable to chronic disease (CDC 2010a). Among both the younger and older age groups (ages 18 and up), hypertension was ranked the most common chronic condition, followed by cholesterol disorders. Among children up to age 17, respiratory diseases and asthma were the most common chronic conditions (Agency for Healthcare Research and Quality 2006). The incidence of childhood chronic diseases has almost quadrupled over the past four decades, mostly due to a threefold increase in childhood obesity (PFCD 2009).

<table>
<thead>
<tr>
<th>Behavioral Risks</th>
<th>Percentage of Population</th>
<th>Year</th>
</tr>
</thead>
<tbody>
<tr>
<td>Alcohol (12 years and over)</td>
<td>51.1</td>
<td>2007</td>
</tr>
<tr>
<td>Marijuana (12 years and over)</td>
<td>5.8</td>
<td>2007</td>
</tr>
<tr>
<td>Cocaine use (12th graders)</td>
<td>1.9</td>
<td>2008</td>
</tr>
<tr>
<td>Cocaine use (10th graders)</td>
<td>1.2</td>
<td>2008</td>
</tr>
<tr>
<td>Cocaine use (8th graders)</td>
<td>0.8</td>
<td>2008</td>
</tr>
<tr>
<td>Cigarette smoking (18 years and over)</td>
<td>19.7</td>
<td>2007</td>
</tr>
<tr>
<td>Hypertension (20 years and over)</td>
<td>31.3</td>
<td>2003–06</td>
</tr>
<tr>
<td>Overweight (20–74 years)</td>
<td>66.9</td>
<td>2003–06</td>
</tr>
<tr>
<td>Serum cholesterol (20 years and over)</td>
<td>15.6</td>
<td>2005–06</td>
</tr>
</tbody>
</table>

Note: Data are based on household interviews of a sample of the civilian noninstitutionalized population 12 years of age and over in the coterminous United States.

with chronic conditions. The prevalence of chronic disease is expected to continue to rise with an aging population and longer life expectancy. (2) Screening and diagnosis have expanded in scope, frequency, and accuracy (Robert Wood Johnson Foundation 2010). (3) Lifestyle choices, such as high-salt and high-fat diets and sedentary lifestyles, are risk factors that contribute to the development of chronic conditions. To address these issues, the DHHS launched a comprehensive initiative with the aid of $650 million allocated under the American Recovery and Reinvestment Act of 2009. The goal of this initiative—Communities Putting Prevention to Work—is to “reduce risk factors, prevent/delay chronic disease, promote wellness in children and adults, and provide positive, sustainable health change in communities” (DHHS 2010a).

Health Promotion and Disease Prevention

A program of health promotion and disease prevention is built on three main principles: (1) An understanding of risk factors associated with host, agent, and/or environment. Risk factors and their health consequences are evaluated through a process called health risk appraisal. Only when the risk factors and their health consequences are known can interventions be developed to help individuals adopt healthier lifestyles. (2) Interventions for counteracting the key risk factors include two main approaches: (a) behavior modification geared toward the goal of adopting healthier lifestyles and (b) therapeutic interventions. Both are discussed in the next paragraph. (3) Adequate public health and social services, as discussed later in this chapter, include all health-related services designed to minimize risk factors and their negative effects in order to prevent disease, control disease outbreaks, and contain the spread of infectious agents. The goal of public health is to maximize the health of a population.

Various avenues can be used for motivating individuals to alter behaviors that may contribute to disease, disability, or death. Behavior can be modified through educational programs and incentives directed at specific high-risk populations. In the case of cigarette smoking, for example, health promotion aims at building people’s knowledge, attitudes, and skills to avoid or quit smoking. It also involves reducing advertisements and other environmental enticements that promote nicotine addiction. Financial incentives, such as a higher cigarette tax, are used to discourage purchase of cigarettes.

Therapeutic interventions fall into three areas of preventive effort: primary prevention, secondary prevention, and tertiary prevention. Primary prevention refers to activities undertaken to reduce the probability that a disease will develop in the future (Kane 1988). Its objective is to restrain the development of a disease or negative health condition before it occurs. Therapeutic intervention would include community health efforts to assist patients in smoking cessation and exercise programs to prevent conditions such as lung cancer and heart disease. Teen driver education can prevent disability and death from auto accidents. Safety training and practices can reduce serious workplace injuries. Prenatal care is known to lower infant mortality rates. Immunization has had a greater impact on prevention against childhood diseases and mortality reduction than any other public health intervention besides clean water (Plotkin and Plotkin 1999). Hand washing, refrigeration of foods, garbage collection, sewage
Promotion of Developmental Health

Development refers to growth in skill and capacity to function normally (Hancock and Mandle 1994). Early childhood development influences a person’s health in later years. The foundations laid in the early years often determine the individual’s future adjustments to life (Berger 1988) and shape individual behaviors. Children who fail to acquire certain skills in childhood often have real difficulties as adults (Wynder and Orlandi 1984). The importance of early childhood development has important implications for health services delivery in two main areas: (1) Expectant mothers need adequate prenatal care. The health promotion needs of the expectant mother and the fetus are so closely intertwined that the two must be considered one unit (Hancock and Mandle 1994). (2) Adequate child care is needed, especially during the first few years of growth. Immunization, nutrition, family and social interaction, and health care are key developmental elements until a child

Table 2–2 Annual Percent Decline in US Cancer Mortality 1991–2007

<table>
<thead>
<tr>
<th></th>
<th></th>
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</tr>
</thead>
<tbody>
<tr>
<td>All cancers</td>
<td>3.0</td>
<td>1.1</td>
<td>1.4</td>
</tr>
<tr>
<td>Breast cancer</td>
<td>6.3</td>
<td>2.5</td>
<td>2.2</td>
</tr>
<tr>
<td>Cervical cancer</td>
<td>9.7</td>
<td>3.6</td>
<td>2.6</td>
</tr>
<tr>
<td>Ovarian cancer</td>
<td>4.8</td>
<td>0.5</td>
<td>0.8</td>
</tr>
<tr>
<td>Prostate cancer</td>
<td>6.3</td>
<td>3.5</td>
<td>3.1</td>
</tr>
</tbody>
</table>

Source: Data from National Center for Health Statistics of the Centers for Disease Control and Prevention, National Cancer Institute, SEER Cancer Statistics Review, 1975–2007.
 reaches adulthood. Preventable developmental disabilities impose an undue burden on the health care delivery system.

Public Health

Public health remains poorly understood by its prime beneficiaries, the public. For some people, public health evokes images of a massive social enterprise or welfare system. To others, the term means health care services for everyone. Still another image of public health is that of a body of knowledge and techniques that can be applied to health-related problems (Turnock 1997). However, none of these ideas adequately reflects what public health is.

The Institute of Medicine (IOM) proposed that the mission of public health is to fulfill “society’s interest in assuring conditions in which people can be healthy” (IOM 1988). Public health deals with broad societal concerns about ensuring conditions that promote optimum health for the society as a whole. It involves the application of scientific knowledge to counteract disease outbreaks and protect the general population.

Three main distinctions can be seen between the practices of medicine and public health: (1) Medicine focuses on the individual patient—diagnosing symptoms, treating and preventing disease, relieving pain and suffering, and maintaining or restoring normal function. Public health, conversely, focuses on populations (Lasker 1997). (2) The emphases in modern medicine are on the biological causes of disease and developing treatments and therapies. Public health focuses on identifying the environmental, social, and behavioral risk factors that cause disease and on developing and implementing population-wide interventions to minimize those risk factors (Peters et al. 2001). (3) Medicine focuses on the treatment of disease and recovery of health, whereas public health deals with various efforts to prevent disease and promote health.

To promote and protect society’s interest in health and well-being, public health activities can range from providing education on nutrition to passing laws that enhance automobile safety. For example, public health includes dissemination to the public and to health professionals of timely and appropriate information about important health issues, particularly when communicable diseases pose potential threats to large segments of a population.

Compared to the delivery of medical services, public health involves a broader range of professionals. The medical sector encompasses physicians, nurses, dentists, therapists, social workers, psychologists, nutritionists, health educators, pharmacists, laboratory technicians, health services administrators, and so forth. In addition to these professionals, public health also involves professionals such as sanitarians, epidemiologists, statisticians, industrial hygienists, environmental health specialists, food and drug inspectors, toxicologists, and economists (Lasker 1997).

Health Protection and Environmental Health

Health protection is one of the main public health functions. In the 1850s, John Snow successfully traced the risk of cholera outbreaks in London to the Broad Street water pump (Rosen 1993). Since then, environmental health has specifically dealt with preventing the spread of disease through water, air, and food (Schneider 2000). Environmental health science, along with other public
Health Protection During Global Pandemics

In 2003, to prevent the introduction, transmission, and spread of severe acute respiratory syndrome (SARS)—a contagious disease that is accompanied by fever and symptoms of pneumonia or other respiratory illness—the White House designated SARS a communicable disease for the apprehension, detention, or conditional release of individuals with the disease.

The global threat of avian influenza has also solicited a public health and government response. The CDC launched a website dedicated to educating the public about avian influenza, how it is spread, and past and current outbreaks. The website contains specific information for health professionals, travelers, the poultry industry, state departments of health, and people with possible exposures to avian influenza (CDC 2007).

After a novel H1N1 influenza virus emerged from Mexico in early April 2009, the first H1N1 influenza patient in the United States was confirmed by CDC on April 15, 2009 (DHHS 2009). Although US

Table 2–3 Leading Causes of Death, 2006

<table>
<thead>
<tr>
<th>Cause of Death</th>
<th>Deaths</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>All causes</td>
<td>2,426,264</td>
<td>100.0</td>
</tr>
<tr>
<td>Diseases of the heart</td>
<td>631,636</td>
<td>26.0</td>
</tr>
<tr>
<td>Malignant neoplasms</td>
<td>559,888</td>
<td>23.1</td>
</tr>
<tr>
<td>Cerebrovascular diseases</td>
<td>137,119</td>
<td>5.7</td>
</tr>
<tr>
<td>Chronic lower respiratory diseases</td>
<td>124,583</td>
<td>5.1</td>
</tr>
<tr>
<td>Unintentional injuries</td>
<td>121,599</td>
<td>5.0</td>
</tr>
<tr>
<td>Diabetes mellitus</td>
<td>72,449</td>
<td>3.0</td>
</tr>
<tr>
<td>Alzheimer’s disease</td>
<td>56,326</td>
<td>2.3</td>
</tr>
<tr>
<td>Influenza and pneumonia</td>
<td>72,432</td>
<td>3.0</td>
</tr>
<tr>
<td>Nephritis, nephrotic syndrome, and nephrosis</td>
<td>45,344</td>
<td>1.9</td>
</tr>
<tr>
<td>Septicemia</td>
<td>34,234</td>
<td>1.4</td>
</tr>
</tbody>
</table>

health officials anticipated and prepared for an influenza pandemic, the H1N1 virus had strained the response capabilities of the public health system. The virus affected every US state, and Americans were left unprotected in the outbreak, due to unavailability of antiviral medications. On April 26, 2009, DHHS declared a nationwide Public Health Emergency (PHE), which enabled the Food and Drug Administration (FDA) to issue Emergency Use Authorizations (EUAs) for certain antiviral medications, such as Tamiflu, Relenza, and Peramivir IV, in vitro diagnostic devices, and respiratory protection products (DHHS 2009). As of July 24, 2009, CDC reported 43,771 confirmed and probable cases, with 5,011 hospitalizations and 302 deaths (DHHS 2009).

Bioterrorism and Disaster Preparedness

Since the horrific events of what is now commonly referred to as 9/11 (September 11, 2001), America has opened a new chapter in health protection. As the nation was still recovering from the shock of the attacks on New York’s World Trade Center, attempts to disseminate anthrax through the US Postal Service were discovered. In June 2002, former President Bush signed into law the Public Health Security and Bioterrorism Response Act of 2002. The term bioterrorism encompasses the use of chemical, biological, and nuclear agents to cause harm to relatively large civilian populations. Dealing with such a threat requires large-scale preparations, which include appropriate tools and training for workers in medical care, public health, emergency care, and civil defense agencies at the federal, state, and local levels. It requires national initiatives to develop countermeasures, such as new vaccines, a robust public health infrastructure, and coordination among numerous agencies. It requires an infrastructure to handle large numbers of casualties and isolation facilities for contagious patients. Hospitals, public health agencies, and civil defense must be linked together through information systems. Containment of infectious agents, such as smallpox, would require quick detection, treatment, isolation, and organized efforts to protect the unaffected population. Rapid cleanup, evacuation of the affected population, and transfer of victims to medical care facilities require detailed plans and logistics.

The Homeland Security Act of 2002, signed into law in November 2002 by the Bush Administration, created the Department of Homeland Security (DHS) and called for a major restructuring of the nation’s resources with the primary mission of helping prevent, protect against, and respond to any acts of terrorism in the United States. It also provided better tools to contain attacks on the food and water supplies; protect the nation’s vital infrastructures, such as nuclear facilities; and track biological materials anywhere in the United States.

Over the past several years, the United States has witnessed unprecedented efforts to prepare for and respond to natural and man-made disasters. Following the creation of DHS in 2002 and the establishment of the National Incident Management System (NIMS) and the National Response Framework (NRF) in 2008, the nation confronted major natural disasters, such as hurricanes Katrina, Rita, and Wilma in 2005. In December 2006, President Bush signed the Pandemic and All-Hazards Preparedness Act (PAHPA) “to improve the nation’s public health and medical preparedness and response capabilities for emergencies, whether deliberate, accidental, or natural” (DHHS
Determinants of Health

Health determinants are major factors that, over time, affect the health and well-being of individuals. Individual health eventually determines, at an aggregate level, the health of communities and even larger populations. An understanding of health determinants is necessary for any positive interventions necessary to improve health and longevity at both the individual and population levels.

Blum’s Model of Health Determinants

In 1974, Blum (1981) proposed an “Environment of Health” model, later called the “Force Field and Well-Being Paradigms of Health” (Figure 2–3). Blum proposed four major inputs that contributed to health and well-being. These main influences (called “force fields”) are environment, lifestyle, heredity, and medical care, all of which must be considered simultaneously when addressing the health status of an individual or a population. In other words, there is no single pathway to better health, because health determinants interact in complex ways. Consequently, improvement in health requires a multipronged approach.

The four wedges in Figure 2–3 represent the four major force fields. The size of each wedge signifies its relative importance. Thus, the most important force field, according to this model, is environment, followed by lifestyles and heredity. Medical care has the least impact on health and well-being.

Environment

Environmental factors encompass the physical, socioeconomic, sociopolitical, and sociocultural dimensions. Among physical environmental factors are air pollution, food and water contaminants, radiation, toxic chemicals, wastes, disease vectors, safety hazards, and habitat alterations.
The relationship of socioeconomic status (SES) to health and well-being may be explained by the general likelihood that people who have better education also have higher incomes. They live in better homes and locations where they are less exposed to environmental risks. They have better access to health care and are more likely to avoid risky behaviors, such as smoking and drug abuse. The greater the economic gap between the rich and the poor in a given geographic area, the worse the health status of the population in that area is likely to be. It has been suggested that wide income gaps produce less social cohesion, greater psychosocial stress, and, consequently, poorer health (Wilkinson 1997). For example, social cohesion—characterized by a hospitable social environment in which people trust each other and participate in communal activities—is linked to lower overall mortality and better self-rated health (Kawachi et al. 1997, 1999). Researchers have postulated that a political and policy context that creates income inequality is a precursor to health inequalities (Dye 1991). However, even countries with national health insurance programs, such as Britain, Australia, Denmark, and Sweden, experience persistent and widening disparities in health according to socioeconomic status (Pincus et al. 1998). The joint relationship of income
Determinants of Health

inequality and availability of primary care has also been found to be significantly associated with individuals’ self-rated health status (Shi et al. 2002).

The relationship between education and health status has been well established. Less educated Americans die younger, compared to their better educated counterparts. Unemployment may affect social health because of reduced social functioning; mental health because of increased levels of stress; and physical health due to various stress-related illnesses. Pincus and colleagues (1998) proposed that poor health in sociologically disadvantaged populations results more from unfavorable social conditions and ineffective self-management than from limitations in access to medical care.

The environment can also have a significant influence on developmental health. It has been shown, for example, that children who are isolated and do not socialize much with their peers tend to be overrepresented in groups of delinquents and adults with mental health problems (Wynder and Orlandi 1984). Research points out that the experiences that children have and the way adults interact with them in early years have a major impact on children’s mental and emotional development. Neuroscientists have found that good nurturing and stimulation in the first 3 years of life—a prime time for brain development—activate neural pathways in the brain that might otherwise atrophy and may even permanently increase the number of brain cells. Hence, the importance of quality of child care provided in the first 3 years of life is monumental (Shellenbarger 1997).

Lifestyle
Lifestyle, or behavioral risk factors, were previously discussed. This section provides some illustrations of how lifestyle factors are related to health. Studies have shown that diet and foods, for example, play a major role in most of the significant health problems of today. Heart disease, diabetes, stroke, and cancer are but some of the diseases with direct links to dietary choices. Throughout the world, incidence and mortality rates for many forms of cancer are rising. Yet research has clearly indicated that a significant portion of cancer is preventable. The role of diet and nutrition in cancer prevention has been one of the most exciting and promising research areas over the past few years. Researchers estimated that 40 to 60% of all cancers, and as many as 35% of cancer deaths, are linked to diet (American Institute for Cancer Research 1996). Current research also shows that a diet rich in fruits, vegetables, and low-fat dairy foods, and with reduced saturated and total fat, can substantially lower blood pressure (see, for example, the DASH Eating Plan recommended by DHHS; available at http://www.nhlbi.nih.gov/health/public/heart/hbp/dash/new_dash.pdf as of April 2011). Thus, a nutritional approach can be effective in both preventing and treating hypertension and other diseases. The role of exercise and physical activity as a potentially useful, effective, and acceptable method for reducing the risk of colon cancer is also significant (Macfarlane and Lowenfels 1994). Research findings have also confirmed the association between recreational and/or occupational physical activity and a reduced risk of colon cancer (White et al. 1996).

Heredity
Genetic factors predispose individuals to certain diseases. For example, cancer occurs when the body’s healthy genes lose...
their ability to suppress malignant growth or when other genetic processes stop working properly, although this does not mean that cancer is entirely a disease of the genes (Davis and Webster 2002).

A person can do little about the genetic makeup he or she has inherited. However, lifestyles and behaviors that a person may currently engage in can have significant influences on future progeny. Advances in gene therapy hold the promise of treating a variety of inherited or acquired diseases.

**Medical Care**

Even though the other three factors are more important in the determination of health, well-being, and susceptibility to premature death, medical care is, nevertheless, a key determinant of health. Both individual and population health are closely related to having access to adequate preventive and curative health care services. Despite the fact that medical care, compared to the other three factors, has the least impact on health and well-being, Americans’ attitudes toward health improvement focus on more medical research, development of new medical technology, and spending more on high-tech medical care. Yet, significant declines in mortality rates were achieved well before the modernization of Western medicine and the escalation in medical care expenditures.

The availability of primary care may be one alternative pathway through which income inequality influences population-level health outcomes. Shi and colleagues (1999, 2001) examined the joint relationships among income inequality, availability of primary care, and certain health indicators. The results suggest that access to primary care physicians, in addition to income inequality, significantly correlates with reduced mortality, increased life expectancy, and improved birth outcome. In the United States, individuals living in states with a higher primary care physician-to-population ratio are more likely to report good health than those living in states with a lower ratio (Shi et al. 2002).

**Contemporary Models of Health Determinants**

Although Blum’s model lays the foundation for understanding the determinants of health and wellness, more recent models have built upon this foundation. For example, the model proposed by Dahlgren and Whitehead (2006) states that age, sex, and genetic makeup are fixed factors, but other factors in the surrounding layers can be modified to positively influence population health. Individual lifestyle factors have the potential to promote or damage health, and social interactions can sustain people’s health; but living and working conditions; food supplies; access to essential goods and services; and the overall economic, cultural, and environmental conditions have wider influences on individual and population health.

Ansari and colleagues (2003) proposed a public health model of the social determinants of health in which the determinants are categorized into four major groups: social determinants, health care system attributes, disease inducing behaviors, and health outcomes (Ansari et al. 2003).

The WHO Commission on Social Determinants of Health (WHOCSHD) (2007) concluded that “the social conditions in which people are born, live, and work are the single most important determinant of one’s health status.” The WHO model provides a conceptual framework for understanding the socioeconomic and political contexts; structural determinants; intermediary determinants (including material circumstances,
social-environmental circumstances, behavioral and biological factors, social cohesion, and the health care system); and the impact on health equity and well-being measured as health outcomes.

In the United States, government agencies, such as CDC and DHHS, have recognized the need to address health inequities. CDC’s National Center for HIV/AIDS, Viral Hepatitis, STD, and TB Prevention adopted the WHO framework on social determinants of health to use as a guide for its activities (see Figure 2–4). The Patient Protection and Affordable Care Act of 2010 and Healthy People 2020 also focus on health determinants that may create new opportunities to apply a comprehensive approach to address health disparities.

**Overarching Factors and Implications for Health Care Delivery**

The force fields illustrated in Blum’s model (Figure 2–3) are affected by broad national and international factors, such as a nation’s population characteristics, natural resources, ecological balance, human satisfactions, and cultural systems. Among these factors, type of health care delivery system can also be included. In the United States, the preponderance of health care expenditures is devoted to the treatment of medical conditions rather than to the prevention and control of factors that produce those medical conditions in the first place. This misdirection can be traced to the conflicts that often result from the beliefs and values ingrained in the American culture.

**Cultural Beliefs and Values**

A value system orients the members of a society toward defining what is desirable for that society. It has been observed that even a society as complex and highly differentiated as in the United States can be said to have a relatively well-integrated system of institutionalized common values at the societal level (Parsons 1972). Although such a view
may still prevail, American society now has several different subcultures that have grown in size due to a steady influx of immigrants from different parts of the world.

The current system of health services delivery traces its roots to the traditional beliefs and values espoused by the American people. The value and belief system governs the training and general orientation of health care providers, type of health delivery settings, financing and allocation of resources, and access to health care. Also, beliefs and values have historically led Americans to oppose any major reforms of the health care system. Health care systems in other countries also reflect deeply rooted beliefs and values. For example, Canadians prefer increased spending on health and social programs to receiving a tax cut from the government. Conversely, Americans are skeptical of any heavy-handed government involvement in the health care system.

Some of the main beliefs and values predominant in the American culture are outlined as follows:

1. A strong belief in the advancement of science and the application of scientific methods to medicine were instrumental in creating the medical model that primarily governs health care delivery in the United States. In turn, the medical model has fueled the tremendous growth in medical science and technological innovation. As a result, the United States has been leading the world in medical breakthroughs. These developments have had numerous implications for health services delivery:
   a. They increase the demand for the latest treatments and raise patients’ expectations for finding cures.
   b. Medical professionals have been preoccupied, almost exclusively, with clinical interventions, whereas the holistic aspects of health and use of alternative therapies have been deemphasized.
   c. Health care professionals have been trained to focus on physical symptoms rather than the underlying causes of disease.
   d. Few attempts have been made to integrate diagnosis and treatment with health education and disease prevention.
   e. The concern with diseases has funneled most research efforts away from the pursuit of health into development of sophisticated medical technology. Commitment of resources to the preservation and enhancement of health and well-being has lagged far behind.
   f. Medical specialists, using the latest technology, are held in higher esteem and earn higher incomes than general practitioners and health educators.
   g. The desirability of health care delivery institutions, such as hospitals, is often evaluated by their acquisition of advanced technology.
   h. Whereas biomedicine has taken central stage, diagnosis and treatment of mental health have been relegated to a lesser status.
   i. The biomedical model has isolated the social and spiritual elements of health.

2. America has been a champion of capitalism. Due to a strong belief in capitalism, health care has largely
been viewed as an economic good (or service), not as a public resource.

3. A culture of capitalism promotes entrepreneurial spirit and self-determination. Hence, individual capabilities to obtain health services have largely determined the production and consumption of health care—which services will be produced, where and in what quantity, and who will have access to those services. Some key implications are:
   a. Financing of health care largely through private health insurance has made access to health care a social privilege.
   b. A clear distinction exists between the types of services for poor and affluent communities and between those in rural and urban locations.
   c. The culture of individualism emphasizes individual health rather than population health. Medical practice, therefore, has been directed at keeping the individual healthy rather than keeping the entire community healthy.

4. A concern for the most underprivileged classes in society—the poor, the elderly, the disabled, and children—led to the creation of the public programs Medicare, Medicaid, and CHIP.

5. Principles of free enterprise and a general distrust of big government have kept the delivery of health care largely in private hands. Hence, a separation also exists between public health functions and the private practice of medicine.

Scarcity of economic resources is a central economic concept. From this perspective, health care can be viewed as an economic good. Two fundamental questions arise with regard to how scarce health care resources ought to be used: (1) How much health care should be produced? (2) How should health care be distributed? The first question concerns the appropriate combination in which health services ought to be produced in relation to all other goods and services in the overall economy. If more health care is produced, a society may have to do less with some other goods, such as food, clothing, and transportation. The second question affects individuals at a more personal level. It deals with who can receive which type of medical service, and how access to services will be restricted.

The production, distribution, and subsequent consumption of health care must be perceived as equitable. No society has found a perfectly equitable method to distribute limited economic resources. In fact, any method of resource distribution leaves some inequalities. Societies, therefore, try to allocate resources according to some guiding principles acceptable to each society. Such principles are ingrained in a society’s value and belief system. It is recognized that not everyone can receive everything medical science has to offer. The fundamental question that deals with distributive justice or equity is who should receive the medical goods and services that society produces (Santerre and Neun 1996). By extension, this basic question about equity includes not only who should receive medical care but also which type of services and in what quantity.
A just and fair allocation of health care poses conceptual and practical difficulties; hence, a theory of justice needs to resolve the problem of health care allocation (Jonsen 1986). The principle of justice derives from ethical theories, especially those advanced by John Rawls, who defined justice as fairness (Darr 1991). Even though various ethical principles can be used to guide decisions pertaining to just and fair allocation of health care in individual circumstances, the broad concern about equitable access to health services is addressed by the theories referred to as market justice and social justice. These two contrasting theories govern the production and distribution of health care services.

**Market Justice**

The principle of *market justice* ascribes the fair distribution of health care to the market forces in a free economy. Medical care and its benefits are distributed based on people’s willingness and ability to pay (Santerre and Neun 1996). In other words, people are entitled to purchase a share of the available goods and services that they value. They are to purchase these valued goods and services by means of wealth acquired through their own legitimate efforts. This is how most goods and services are distributed in a free market. The free market implies that giving people something they have not earned would be morally and economically wrong.

Chapter 1 discussed several characteristics that describe a free market. Those market characteristics are a precondition to the distribution of health care services according to market justice principles. It should be added that health care in the United States is not delivered in a free market; rather it is delivered in a quasi-market (see Chapter 1). Hence, market justice principles are only partially applicable to the US health care delivery system. Distribution of health care according to market justice is based on the following key assumptions:

- Health care is like any other economic good or service, the distribution and consumption of which are determined by free market forces of supply and demand.
- Individuals are responsible for their own achievements. From the rewards of their achievements, people are free to obtain various economic goods and services, including health care. When individuals pursue their own best interests, the interests of society as a whole are best served (Ferguson and Maurice 1970).
- People make rational choices in their decisions to purchase health care products and services. People demand health care because it can rectify a health problem and restore health, can reduce pain and discomfort and make people feel better, and can reduce anxiety about their health and well-being. Therefore, people are willing to purchase health care services. Grossman (1972) proposed that health is also an investment commodity. People consider the purchase of health services as an investment. For example, the investment has a monetary payoff when it reduces the number of sick days, making extra time available for productive activities, such as earning a living. Or it can have a utility payoff—a payoff in terms of satisfaction—when it makes life more enjoyable and fulfilling.
- People, in consultation with their physicians, know what is best for them. This assumption implies that people place a certain degree of trust in their physicians.
and that the physician–patient relationship is ongoing.

- The marketplace works best with minimum interference from the government. In other words, the market, rather than the government, can allocate health care resources in the most efficient and equitable manner.

The classical ethical theory known as **deontology** may be applied to market justice. Deontology asserts that it is an individual’s duty (from the Greek word “deon”) to do what is right. The results are not important. Deontology emphasizes individual responsibilities, as in a physician–patient relationship. A physician is duty bound to do whatever is necessary to restore a patient’s health. The patient is responsible for compensating the physician for his or her services. The destitute and poor may be served by charity, but deontology largely tends to ignore the importance of societal good. It does not address what responsibilities people have toward the society.

Market justice may also be associated with the libertarian view that equity is achieved when resources are distributed according to merits. That is, health care should be distributed according to minimum standards and financed according to willingness to pay. According to this view, equality in health status need not be a central priority (Starfield 1998).

Under market justice, the production of health care is determined by how much the consumers are willing and able to purchase at the prevailing market prices. It follows that, in a free market system, individuals without sufficient income face a financial barrier to obtaining health care (Santerre and Neun 1996). Thus, prices and ability to pay ration the quantity and type of health care services people consume. The uninsured and those who lack sufficient income to pay privately face barriers to obtaining health care. Such limitations to obtaining health care are referred to as “rationing by ability to pay” (Feldstein 1994), **demand-side rationing**, or price rationing.

The key characteristics and their implications under the system of market justice are summarized in Table 2–4. Market justice emphasizes individual, rather than collective, responsibility for health. It proposes private, rather than government, solutions to social problems of health.

**Social Justice**

The idea of social justice is at odds with the principles of capitalism and market justice. The term “social justice” was invented in the 19th century by the critics of capitalism to describe the “good society” (Kristol 1978). According to the principle of **social justice**, the equitable distribution of health care is a societal responsibility, which is best achieved by letting a central agency, generally the government, take over the production and distribution of health care. Social justice regards health care as a social good—as opposed to an economic good—that should be collectively financed and available to all citizens regardless of the individual recipient’s ability to pay for that care. Canadians and Europeans, for example, long ago reached a broad social consensus that health care is a social good (Reinhardt 1994). Public health also has a social justice orientation (Turnock 1997). Under the social justice system, inability to obtain medical services because of a lack of financial resources is considered inequitable. A just distribution of health care must be based on need, not simply on one’s ability to purchase in the marketplace.
Chapter 2 • Beliefs, Values, and Health

Individuals cannot control certain environmental factors, such as economic inequalities, unemployment, unsanitary conditions, or air pollution. Society has an obligation to the collective good. The well-being of the community is superior to that of the individual. An unhealthy individual is a burden on society. A person carrying a deadly infection, for example, is a threat to society. Society, therefore, is obligated to cure the problem by providing health care to the individual because, by doing so, the whole society would benefit.

Table 2–4 Comparison of Market Justice and Social Justice

<table>
<thead>
<tr>
<th>Characteristics</th>
<th>Market Justice</th>
<th>Social Justice</th>
</tr>
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<tbody>
<tr>
<td>Views health care as an economic good</td>
<td>Views health care as a social resource</td>
<td></td>
</tr>
<tr>
<td>Assumes free-market conditions for health services delivery</td>
<td>Requires active government involvement in health services delivery</td>
<td></td>
</tr>
<tr>
<td>Assumes that markets are more efficient in allocating health resources equitably</td>
<td>Assumes that the government is more efficient in allocating health resources equitably</td>
<td></td>
</tr>
<tr>
<td>Production and distribution of health care determined by market-based demand</td>
<td>Medical resource allocation determined by central planning</td>
<td></td>
</tr>
<tr>
<td>Medical care distribution based on people’s ability to pay</td>
<td>Ability to pay inconsequential for receiving medical care</td>
<td></td>
</tr>
<tr>
<td>Access to medical care viewed as an economic reward of personal effort and achievement</td>
<td>Equal access to medical services viewed as a basic right</td>
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| Implications                                                                 |
|-----------------------------------------------------------------------------|-----------------------------------------------------|
| Individual responsibility for health                                        | Collective responsibility for health                 |
| Benefits based on individual purchasing power                               | Everyone is entitled to a basic package of benefits  |
| Limited obligation to the collective good                                   | Strong obligation to the collective good             |
| Emphasis on individual well-being                                           | Community well-being supersedes that of the individual |
| Private solutions to social problems                                        | Public solutions to social problems                  |
| Rationing based on ability to pay                                            | Planned rationing of health care                     |

(demand). Need for health care is determined either by the patient or by a health professional. The principle of social justice is also based on certain assumptions:

- Health care is different from most other goods and services. Health-seeking behavior is governed primarily by need rather than by ability to pay.
- Responsibility for health is shared. Individuals are not held completely responsible for their condition because factors outside their control may have brought on the condition. Society is held responsible because individuals cannot control certain environmental factors, such as economic inequalities, unemployment, unsanitary conditions, or air pollution.

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The government rather than the market can better decide through rational planning how much health care to produce and how to distribute it among all citizens.

Social justice is consistent with the theory of *utilitarianism*, a teleological principle (from the Greek, “telos,” meaning end). Utilitarianism emphasizes happiness and welfare for the masses; it ignores the individual. Society’s goal is to achieve the greatest good for the greatest number of people. In this case, the greatest good for the greatest number of people is thought to be achieved when the well-being of the whole community supersedes the well-being of individuals. By implication, the government is thought to distribute health care resources more equitably than the market.

Social justice finds its ethical roots in the egalitarian view that equity is achieved when resources are distributed according to needs. That is, more resources are made available to populations that need more services because of their greater social or health disadvantage (Starfield 1998).

Under social justice, how much health care to produce is determined by the government; however, no country can afford to provide unlimited amounts of health care to all its citizens (Feldstein 1994). The government then also finds ways to limit the availability of certain health care services by deciding, for instance, how technology will be dispersed and who will be allowed access to certain types of high-tech services, even though basic services may be available to all. To distribute limited health care resources, the government engages in *supply-side rationing*, which is also referred to as *planned rationing*, or nonprice rationing. The government makes deliberate attempts, often referred to as “health planning,” to limit the supply of health care services, particularly those beyond the basic level of care. It is because of the necessity to ration health care that citizens of a country can be given universal coverage but not universal access (see Chapter 1). Even when a covered individual has a medical need, depending on the nature of health services required, he or she may have to wait until services become available. The main characteristics and implications of social justice are summarized in Table 2–4.

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**Justice in the US Health Delivery System**

In a quasi- or imperfect market, which characterizes health care delivery in the United States, elements of both market and social justice exist, but the principles of market justice are dominant. In some areas, the principles of market and social justice complement each other. In other areas, the two are in conflict.

**Health Insurance**

In a society with strong market justice values, individuals paying for their own care would predominantly finance the medical care system, and a multitude of private health insurance plans would prevail. In a society with strong social justice principles, the government would finance the medical care system through general tax revenues (Long 1994).

In the United States, the principles of market justice and social justice complement each other with private, employer-based health insurance for mainly middle-income Americans (market justice); publicly financed Medicaid, Medicare, and CHIP
centers can be accessed by the uninsured in areas where such services are available (social justice). Publicly run institutions, generally, operate in large inner cities and certain rural areas. Conflict between the two principles of justice arises in small cities and towns and large rural sections where such services are not available. Medicare and Medicaid make their own determinations on how much is paid for services. These characteristics do not fully harmonize with market justice principles.

Limitations of Market Justice

The principles of market justice work well in the allocation of economic goods when their unequal distribution does not affect the larger society. For example, based on individual success, people live in different sizes and styles of homes, drive different types of automobiles, and spend their money on a variety of things, but the allocation of certain resources has wider repercussions for society. In these areas, market justice has severe limitations:

1. Market justice principles fail to rectify critical human concerns. Pervasive social problems, such as crime, illiteracy, and homelessness, can significantly weaken the fabric of a society. Indeed, the United States has recognized such issues and instituted programs based on social justice to combat the problems through added police protection, publicly supported education, and subsidized housing for the poor and elderly. Health care is an important social issue because it not only affects human productivity and achievement but also provides basic human dignity.
2. Market justice does not always protect a society. Individual health issues can have negative consequences for society because ill health is not always confined to the individual. The acquired immune deficiency syndrome (AIDS) epidemic is an example in which society can be put at serious risk. Initial spread of the SARS epidemic in Beijing was largely due to patients with SARS symptoms being turned away by hospitals because they were not able to pay in advance for the cost of the treatment. Similar to clean air and water, health care is a social concern that, in the long run, protects against the burden of preventable disease and disability, a burden that is ultimately borne by society.

3. Market justice does not work well in health care delivery. A growing national economy and prosperity in the past did not materially reduce the number of uninsured Americans. On the other hand, the number of uninsured increases during economic downturns. For example, during the 2007–2009 recession, 5 million Americans lost employment-based health insurance (Holahan 2011).

Integration of Individual and Community Health

It has been recognized that typical emphasis on the treatment of acute illness in hospitals, biomedical research, and high technology has not significantly improved the population’s health. Consequently, it has been proposed that the medical model should be replaced with a disease-prevention, health-promotion, primary care-based model (Shortell et al. 1995). More precise, this is a call for integration of the two models rather than a total abandonment of the medical model in favor of another. Society will always need the benefits of modern science and technology for the treatment of disease. Disease prevention, health promotion, and primary care can prevent certain health problems, delay the onset of disease, and prevent disability and premature death. An integrated approach will improve the overall health of the population, enhance people’s quality of life, and conserve health care resources.

The real challenge for the health care delivery system is to incorporate the medical and wellness models within the holistic context of health. The Ottawa Charter for Health Promotion, for instance, mentions caring, holism, and ecology as essential issues in developing strategies for health promotion (de Leeuw 1989). “Holism” and “ecology” refer to the complex relationships that exist among the individual; the health care delivery system; and the physical, social, cultural, and economic environmental factors. In addition, as the increasing body of research points out, the spiritual dimension must be incorporated into the integrated model.

Another equally important challenge for the health care delivery system is to focus on both individual and population health outcomes. The nature of health is complex, and the interrelationships among the physical, mental, social, and spiritual dimensions are not well understood. How to translate this multidimensional framework of health into specific actions that are efficiently configured to achieve better individual and community health is the greatest challenge any health care system could possibly face.
Beliefs, Values, and Health

For an integrated approach to become reality, resource limitations make it necessary to deploy the best US ingenuity toward health-spending reduction, elimination of wasteful care, promotion of individual responsibility and accountability for one’s health, and improved access to services. In a broad sense, these services include medical care, preventive services, health promotion, and social policy to improve education, lifestyle, employment, and housing (Figure 2–5). The Ottawa Charter has proposed achieving health objectives through social public policy and community action. An integrated approach also necessitates creation of a new model for training health care professionals by forming partnerships with the community (Henry 1993). The subsequent paragraphs describe examples of community partnership reflected in community health assessment and Healthy People initiatives.

Healthy People Initiatives

Since 1980, the United States has undertaken 10-year plans outlining certain key national health objectives to be accomplished during each of the 10-year periods. These initiatives have been founded on the integration of medical care with preventive services, health promotion, and education; integration of personal and community health care; and increased access to integrated services. Accordingly, the objectives are developed by a consortium of national and state organizations under the leadership of the US Surgeon General. The first of these programs, with objectives for 1990, provided national goals for reducing premature deaths and for preserving the independence of older adults.

Healthy People 2000: National Health Promotion and Disease Prevention Objectives, released in 1990, identified health improvement goals and objectives to be

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statement is “Healthy People 2020 strives to: (1) Identify nationwide health improvement priorities; (2) Increase public awareness and understanding of the determinants of health, disease, and disability and the opportunities for progress; (3) Provide measurable objectives and goals that can be used at the national, state, and local levels; (4) Engage multiple sectors to take actions that are driven by the best available evidence and knowledge; (5) Identify critical research and data collection needs.” Its four overarching goals are to:

1. Attain high-quality, longer lives free of preventable disease, disability, injury, and premature death.
2. Achieve health equity, eliminate disparities, and improve the health of all groups.
3. Create social and physical environments that promote good health for all.
4. Promote quality of life, healthy development, and healthy behaviors across all life stages.

The overarching goals are in line with the tradition of earlier Healthy People initiatives but place particular emphasis on the determinants of health. Figure 2–6 illustrates the Action Model to Achieve Healthy People 2020 Overarching Goals.

This model illustrates that interventions (i.e., policies, programs, information) influence the determinants of health at four levels: (1) individual; (2) social, family, and community; (3) living and working conditions; and (4) broad social, economic, cultural, health, and environmental conditions, leading to improvement in outcomes. Results are to be demonstrated through...
Outcomes

- Behavioral outcomes
- Specific risk factors, diseases, and conditions
- Injuries
- Well-being and health-related quality of life
- Health equity

Interventions

- Policies
- Programs
- Information

Assessment, Monitoring, Evaluation, and Dissemination

Determinants of Health

- Biological factors
- Traits: age, sex, race, and biological factors
- Living and working conditions
- Individual behavior
- Social, family, and community networks
- Broader social, economic, cultural, health, and environmental conditions and policies of the global, national, state, and local levels

Source: Department of Health and Human Services.

Healthy People 2020 is differentiated from previous Healthy People initiatives by including multiple new topic areas to its objective list, such as adolescent health, genomics, global health, health communication and health information technology, and social determinants of health. Healthy People 2020 has 42 topic areas, with 13 new areas (underlined in Table 2–5).

Healthy People 2020 also establishes four foundational health measures to monitor progress toward achieving its goals. The foundational health measures include general health status, health-related quality of life and well-being, determinants of health, and disparities. Measures of general health status include life expectancy, healthy life expectancy, years of potential life lost, physically and mentally unhealthy days, self-assessed health status, limitation of activity, and chronic disease prevalence. Measures of health-related quality of life and well-being include physical, mental, and social health-related quality of life; well-being/satisfaction; and participation in common activities. Healthy People 2020 defines determinants of health as “a range of personal, social, economic, and environmental factors that influence health status. Determinants of health include such things as biology, genetics, individual behavior, access to health services, and the environment in which people are born, live, learn, play, work, and age.” Measures of disparities and inequity include differences in health status based on race/ethnicity, gender, physical and mental ability, and geography (DHHS 2010c).
Measures of Health Status

Certain quantitative measures commonly apply to health, health status, and the utilization of health care. It is one thing to conceptually define health but quite a different thing to measure health status or the health state of a population. The conceptual approaches for defining health and its distribution help form a vision for the future, but objective measures are needed to evaluate the success of various programs, as well as to direct future planning activities. Practical approaches for measuring health are, however, quite limited, and mental health is more difficult to quantify and measure than physical health. An objective evaluation of social and spiritual health is even more obscure. Approaches presented for quantifying the latter are mere illustrations.

The concept of population, as it applies to population health, has been borrowed

<table>
<thead>
<tr>
<th>Table 2–5 List of Healthy People 2020 Topic Areas</th>
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<tbody>
<tr>
<td>1. Access to Health Services</td>
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<tr>
<td>2. Adolescent Health</td>
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<tr>
<td>3. Arthritis, Osteoporosis, and Chronic Back Conditions</td>
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<tr>
<td>4. Blood Disorders and Blood Safety</td>
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<tr>
<td>5. Cancer</td>
</tr>
<tr>
<td>6. Chronic Kidney Disease</td>
</tr>
<tr>
<td>7. Dementias, Including Alzheimer’s Disease</td>
</tr>
<tr>
<td>8. Diabetes</td>
</tr>
<tr>
<td>9. Disability and Health</td>
</tr>
<tr>
<td>10. Early and Middle Childhood</td>
</tr>
<tr>
<td>11. Educational and Community-Based Programs</td>
</tr>
<tr>
<td>12. Environmental Health</td>
</tr>
<tr>
<td>13. Family Planning</td>
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<tr>
<td>14. Food Safety</td>
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<tr>
<td>15. Genomics</td>
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<tr>
<td>16. Global Health</td>
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<tr>
<td>17. Health Communication and Health Information Technology</td>
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<tr>
<td>18. Healthcare-Associated Infections</td>
</tr>
<tr>
<td>19. Health-Related Quality of Life and Well-Being</td>
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<tr>
<td>20. Hearing and Other Sensory or Communication Disorders</td>
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<tr>
<td>21. Heart Disease and Stroke</td>
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<tr>
<td>22. HIV</td>
</tr>
<tr>
<td>23. Immunization and Infectious Diseases</td>
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<tr>
<td>24. Injury and Violence Prevention</td>
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<tr>
<td>25. Lesbian, Gay, Bisexual, and Transgender Health</td>
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<tr>
<td>26. Maternal, Infant, and Child Health</td>
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<tr>
<td>27. Medical Product Safety</td>
</tr>
<tr>
<td>28. Mental Health and Mental Disorders</td>
</tr>
<tr>
<td>29. Nutrition and Weight Status</td>
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<tr>
<td>30. Occupational Safety and Health</td>
</tr>
<tr>
<td>31. Older Adults</td>
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<tr>
<td>32. Oral Health</td>
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<tr>
<td>33. Physical Activity</td>
</tr>
<tr>
<td>34. Preparedness</td>
</tr>
<tr>
<td>35. Public Health Infrastructure</td>
</tr>
<tr>
<td>36. Respiratory Diseases</td>
</tr>
<tr>
<td>37. Sexually Transmitted Diseases</td>
</tr>
<tr>
<td>38. Sleep Health</td>
</tr>
<tr>
<td>39. Social Determinants of Health</td>
</tr>
<tr>
<td>40. Substance Abuse</td>
</tr>
<tr>
<td>41. Tobacco Use</td>
</tr>
<tr>
<td>42. Vision</td>
</tr>
</tbody>
</table>
from the disciplines of statistics and epidemiology. The term “population” is not restricted to describing the total population. Although commonly used in that way, the term may also apply to a defined subpopulation, for example, age groups, marital categories, income levels, occupation categories, racial/ethnic groups, a group of people having a common disease, people in a certain risk category, or people in a certain community or geographic region of a country. The main advantage of studying subpopulations is tracing the existence of health problems to a defined group in the total population. Doing so avoids concealing serious problems in a minority group within the favorable statistics of the majority. By pinpointing health problems in certain well-defined groups, targeted interventions and new policy initiatives can be deployed in the most effective manner.

**Measures of Physical Health**

Physical health status is often interpreted through **morbidity** (disease and disability) and **mortality** (death) rates. In addition, self-perceived health status is a commonly used indicator of health and well-being. Respondents are asked to rate their health as excellent, very good, good, fair, or poor. Self-perceived health status is highly correlated with many objective measures of health status. It is also a good predictor of patient-initiated physician visits, including general medical and mental health visits.

**Longevity**

**Life expectancy**—a prediction of how long a person will live—is widely used as a basic measure of health status. The two common measures are life expectancy at birth (Table 2–6)—or how long a newborn can expect to live—and life expectancy at age 65—expected remaining years of life for someone at age 65. These measures are actuarially determined and published by government agencies such as the National Center for Health Statistics. The US Census Bureau projected that life expectancy in the United States will increase from 76.0 years in 1993 to 82.6 years in 2050 (http://www.census.gov/population/www/pop-profile/natproj.html, accessed December 29, 2010).

**Morbidity**

The measurement of morbidity or disease, such as cancer or heart disease, is expressed as a ratio or proportion of those who have the problem and the **population at risk**. The population at risk includes all the people in the same community or population group who could acquire a disease or condition

---

**Table 2–6** US Life Expectancy at Birth—1999 and Future Projections

<table>
<thead>
<tr>
<th>Year</th>
<th>Total</th>
<th>Male</th>
<th>Female</th>
</tr>
</thead>
<tbody>
<tr>
<td>1999</td>
<td>76.7</td>
<td>73.9</td>
<td>79.4</td>
</tr>
<tr>
<td>White</td>
<td>77.3</td>
<td>74.6</td>
<td>79.9</td>
</tr>
<tr>
<td>Black</td>
<td>71.4</td>
<td>67.8</td>
<td>74.7</td>
</tr>
<tr>
<td>2003</td>
<td>77.5</td>
<td>74.8</td>
<td>80.1</td>
</tr>
<tr>
<td>White</td>
<td>78.0</td>
<td>75.3</td>
<td>80.5</td>
</tr>
<tr>
<td>Black</td>
<td>72.7</td>
<td>69.0</td>
<td>76.1</td>
</tr>
<tr>
<td>2010</td>
<td>77.9</td>
<td>74.1</td>
<td>80.6</td>
</tr>
</tbody>
</table>

Measures of Health Status

69

result is a fraction. To make the fractions meaningful and interpretable, they are multiplied by 100 (to get a percentage), 1,000 (to get a rate per 1,000 people), 10,000 (to get a rate per 10,000 people), or a higher multiple of 10.

Disability

Disease and injury can lead to temporary or permanent, as well as partial or total, disability. Although the idea of morbidity includes disabilities, as well as disease, there are specific measures of disability. Some common measures are the number of days of bed confinement, days missed from work or school, and days of restricted activity. All measures are in reference to a specific time period, such as a year.

One of the most widely used measures of physical disability among the elderly is the activities of daily living (ADL) scale. The ADL scale is appropriate for evaluating disability in both community-dwelling and institutionalized adults. The classic ADL scale, developed by Katz and Akpom (1979), includes six basic activities to determine whether an individual needs assistance. The six basic activities are eating, bathing, dressing, using the toilet, maintaining continence, and transferring from bed to chair (Katz and Akpom 1979). To evaluate disability in community-dwelling adults, a modified Katz scale is commonly used. It consists of seven items (Ostir et al. 1999). Five of these items—feeding, bathing, dressing, using the toilet, and transferring from bed to chair—have been retained from the original Katz scale. The additional two items are grooming and walking a distance of 8 feet. Thus, it includes items measuring self-care and mobility. The ADLs identify personal care functions with which

(Formula 2–1)

Incidence = Number of new cases during a specified period/Population at risk

(Formula 2–2)

Prevalence = Total number of cases at a specific point in time/Specified population

The calculation of rates often requires dividing a small number by a large number representing a defined population. The
a disabled person may need assistance. Depending on the extent of disability, personal care needs can be met through adaptive devices; care rendered by another individual, such as a family member; or care in a nursing facility.

Another commonly used measure of physical function is the instrumental activities of daily living (IADL) scale. This scale measures activities that are necessary for living independently in the community, such as using the telephone, driving a car or traveling alone on a bus or in a taxi, shopping, preparing meals, doing light housework, taking medicine, handling money, doing heavy housework, walking up and down stairs, and walking a half-mile without help. These 10 items categorize activities a person is (a) able or (b) unable to do. IADLs, typically, require higher cognitive functioning than ADLs and, as such, are not purely physical tests of functional disability. IADLs are not, generally, used in institutional settings, because institutionalized persons are not required to perform many IADL tasks (Ostir et al. 1999). The IADL scale measures the level of functioning in activities that are important for self-sufficiency.

Mortality

Death rates are computed in different forms as indicators of population health. Crude rates refer to the total population; they are not specific to any age group or disease category (Formula 2–3).

\[
\text{Formula 2–3} \\
\text{Crude death rate} = \frac{\text{Total deaths (usually in 1 year)}}{\text{Total population}}
\]

Specific rates are useful because death rates vary greatly by race, sex, age, and type of disease or condition. Specific rates allow health care professionals to target programs at the appropriate population subgroups (Dever 1984). Examples of specific rates are age-specific mortality rate (Formula 2–4) and cause-specific mortality rate (Formula 2–5). The age-specific mortality rate provides a measure of the risk (or probability) of dying when a person is in a certain age group. The cause-specific mortality rate provides a measure of the risk (or probability) of dying from a specific cause. Table 2–3 provides the 10 leading causes of death in the United States.

\[
\text{Formula 2–4} \\
\text{Age-specific mortality rate} = \frac{\text{Number of deaths within a certain age group}}{\text{Total number of persons in that age group}}
\]

\[
\text{Formula 2–5} \\
\text{Cause-specific mortality rate} = \frac{\text{Number of deaths from a specific disease}}{\text{Total population}}
\]

Infant mortality rate (actually a ratio; Formula 2–6) is another important indicator. It reflects the health status of the mother and the child through pregnancy and the birth process. It also reflects the level of prenatal and postnatal nutritional care (Timmreck 1994).

\[
\text{Formula 2–6} \\
\text{Infant mortality rate} = \frac{\text{Number of deaths from birth to 1 year of age (in 1 year)}}{\text{Number of live births during the same year}}
\]

Demographic Change

In addition to measures of disease and mortality, changes in the composition of a population over time are important to planning of health services. Population change
involves three components: births, deaths, and migration (Dever 1984). For example, the migration of the elderly to the southern states requires planning of adequate retirement and long-term care services in those states. Longevity is also an important factor that determines demographic change. For example, lower death rates, lower birth rates, and greater longevity, together, indicate an aging population. The subsequent section presents measures of births and migration, whereas measures of death were previously discussed.

**Births**

Natality and fertility are two measures associated with births. Natality, or birth rate, is useful in assessing the influence of births on demographic change and measured by the crude birth rate (Formula 2–7).

**Formula 2–7**

\[
\text{Crude birth rate} = \frac{\text{Number of live births (usually in 1 year)}}{\text{Total population}}
\]

Fertility refers to the capacity of a population to reproduce (see Formula 2–8 for fertility rate). Fertility is a more precise measure than natality, because fertility relates actual births to the sector of the population capable of giving birth.

**Formula 2–8**

\[
\text{Fertility rate} = \frac{\text{Number of live births (usually in 1 year)}}{\text{Number of females aged 15–44}}
\]

**Migration**

Migration refers to the geographic movement of populations between defined geographic units and involves a permanent change of residence. The net migration rate (Formula 2–9) defines the change in the population as a result of immigration (in migration) and emigration (out migration) (Dever 1984, 249). The rate is calculated for a specified period, such as 1 year, 2 years, 5 years, and so on.

**Formula 2–9**

\[
\text{Net migration rate} = \frac{(\text{Number of immigrants} - \text{Number of emigrants})}{\text{Total population (during a specific period of time)}}
\]

**Measures of Mental Health**

Measurement of mental health is less objective than measurement of mortality and morbidity, because mental health often encompasses feelings that cannot be observed. Physical functioning, by contrast, reflected in behaviors and performances, can be more readily observed. Hence, measurement of mental health more appropriately refers to assessment rather than measurement. Mental health can be assessed by the presence of certain symptoms, including both psychophysiologic and psychological symptoms. Examples of psychophysiologic symptoms are low energy, headache, and upset stomach. Examples of psychological symptoms are nervousness, depression, and anxiety.

Self-assessment of one’s own psychological state may also be used for mental health assessment. Self-assessment can be obtained through self-reports of frequency and intensity of psychological distress, anxiety, depression, and psychological well-being.

**Measures of Social Health**

Measures of social health extend beyond the individual to encompass the extent of social contacts across various facets of life, such as family life, work life, and community life.
Breslow (1972) attempted to measure social health along four dimensions: (1) employability, based on educational achievement, occupational status, and job experience; (2) marital satisfaction; (3) sociability, determined by the number of close friends and relatives; and (4) community involvement, which encompassed attendance at religious services, political activity, and organizational membership.

Social health status is sometimes evaluated in terms of social contacts and social resources. Social contacts are evaluated in terms of the number of social contacts or social activities a person engages in within a specified period. Examples are visits with friends and relatives, as well as attendance at social events, such as conferences, picnics, or other outings. Social resources refer to social contacts that can be relied on for support, such as relatives, friends, neighbors, and members of a religious congregation. Social contacts can be observed, and they represent the more objective of the two categories; however, one criticism of social contact measures is their focus on events and activities themselves, with little consideration of how the events are personally experienced. Unlike social contacts, social resources cannot be directly observed and are best measured by asking the individuals direct questions. Evaluative questions include whether these individuals can rely on their social contacts to provide tangible support and needed companionship and whether they feel cared for, loved, and wanted.

Measures of Spiritual Health

Within a person’s individual, social, and cultural context, spiritual well-being can have a large variety of connotations. Such variations make it extremely difficult to propose standardized approaches for measuring the spiritual dimension. Attempts to measure this dimension are illustrated in the General Social Survey, which includes people’s self-perceptions about happiness; religious experiences; and their degree of involvement in activities, such as prayer and attending religious services. The spiritual well-being scale developed by Vella-Brodrick and Allen (1995) evaluates items, such as reaching out for spiritual intervention; engaging in meditation, yoga, or prayer; duration of meditation or prayer for inner peace; frequency of meditation or prayer; reading about religion; and discussions or readings about ethical and moral issues.
selected common measures are provided (Formulas 2–10 to 2–16).

**Crude Measures of Utilization**

**Formula 2–10**

Access to primary care services = Number of persons in a given population who visited a primary care provider in a given year/Size of the population

(This measure is generally expressed as a percentage, i.e., the fraction is multiplied by 100.)

**Formula 2–11**

Utilization of primary care services = Number of primary care visits by people in a given population in a given year/Size of the population

(This measure is generally expressed as number of visits per person per year.)

**Specific Measures of Utilization**

**Formula 2–12**

Utilization of targeted services = Number of people (visits) using special services targeted at a specific population group/Size of the targeted population group

(The fraction obtained is multiplied by 100, 1000, or a higher multiple of 10 to facilitate interpretation of the result.)

**Formula 2–13**

Utilization of specific inpatient services = Number of inpatient days/Size of the population

(The fraction obtained is multiplied by 100, 1000, or a higher multiple of 10 to facilitate interpretation of the result.)

**Measures of Institution-Specific Utilization**

**Formula 2–14**

Average daily census = Total number of inpatient days in a given time period/Number of days in the same time period

**Formula 2–15**

Occupancy rate = Total number of inpatient days in a given time period/Total number of available beds during the same time period

or

Average daily census/Total number of beds in the facility

(This measure is expressed as a percentage, i.e., the fraction is multiplied by 100.)

**Formula 2–16**

Average length of stay = Total number of inpatient days during a given time period/Total number of patients served during the same time period

**Summary**

The delivery of health care is primarily driven by the medical model, which emphasizes illness rather than wellness. Holistic concepts of health, along with the integration of medical care with preventive and health promotional efforts, need to be adopted to significantly improve the health of Americans. Such an approach would also require individual responsibility for one’s own health-oriented behaviors, as well as community partnerships to improve both personal and community health. An understanding of the determinants of health, health education, community health assessment, and national initiatives, such as Healthy People, are essential to accomplishing these goals. Healthy People 2020, launched in 2010, continues its goals of improving health and eliminating disparities. Public health has gained increased importance because of a growing recognition of its role in health protection,
not all citizens have health insurance coverage, a phenomenon called demand-side rationing. Many of the peculiarities of the US health care system trace back to the beliefs and values underlying the American culture.

Commonly used measures of health status and health care utilization provide quantitative means for evaluating health status and measuring progress. Most measures available today apply to the physical dimension of health. Assessment of mental health is less objective than measuring mortality, morbidity, and disability that apply to physical health. Scales to assess social health and spiritual health have also been developed.

### Terminology

- activities of daily living
- acute condition
- agent
- bioterrorism
- cases
- chronic condition
- community health assessment
- crude rates
- demand-side rationing
- deontology
- development
- emigration
- environment
- environmental health
- epidemic
- fertility
- health care
- health determinants
- health risk appraisal
- holistic health
- holistic medicine
- host
- iatrogenic illnesses
- immigration
- incidence
- instrumental activities of daily living
- life expectancy
- market justice
- medical model
- migration
- morbidity
- mortality
- natality
- planned rationing
- population at risk
- prevalence
- primary prevention
- public health
- quality of life
- risk factor
- secondary prevention
- social contacts
- social justice
- social resources
- subacute condition
- supply-side rationing
- tertiary prevention
- utilitarianism
- utilization
Review Questions

1. What is the role of health risk appraisal in health promotion and disease prevention?
2. Health promotion and disease prevention may require both behavioral modification and therapeutic intervention. Discuss.
3. Discuss the definitions of health presented in this chapter, in terms of their implications for the health care delivery system.
4. What implications does early childhood development have for health care delivery?
5. What are the main objectives of public health?
6. Discuss the significance of an individual’s quality of life from the health care delivery perspective.
7. What “preparedness” related measures have been taken to cope with potential natural and man-made disasters since the tragic events of 9/11? Assess their effectiveness.
8. The Blum model points to four key determinants of health. Discuss their implications for health care delivery.
9. What has been the main cause of the dichotomy in the way physical and mental health issues have traditionally been addressed by the health care delivery system?
10. Discuss the main cultural beliefs and values in American society that have influenced health care delivery and how they have shaped the health care delivery system.
11. Briefly describe the concepts of market justice and social justice. In what way do the two principles complement each other and in what way are they in conflict in the US system of health care delivery?
12. Describe how health care is rationed in the market justice and social justice systems.
13. To what extent do you think the objectives set forth in Healthy People initiatives can achieve the vision of an integrated approach to health care delivery in the United States?
14. What are the major differences of Healthy People 2020 from the previous Healthy People initiatives?
15. How can health care administrators and policymakers use the various measures of health status and service utilization? Please illustrate your answer.
16. Using the data given below:
   d. Answer the following questions:
      (i) Did the infant death rates improve between 2005 and 2010?
(ii) What conclusions can you draw about the demographic change in this population?

(iii) Have efforts to prevent death from heart disease been successful in this population?

<table>
<thead>
<tr>
<th>Population</th>
<th>2005</th>
<th>2010</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total</td>
<td>248,710</td>
<td>262,755</td>
</tr>
<tr>
<td>Male</td>
<td>121,239</td>
<td>128,314</td>
</tr>
<tr>
<td>Female</td>
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<td>134,441</td>
</tr>
<tr>
<td>Whites</td>
<td>208,704</td>
<td>218,086</td>
</tr>
<tr>
<td>Blacks</td>
<td>30,483</td>
<td>33,141</td>
</tr>
<tr>
<td>Number of live births</td>
<td>4,250</td>
<td>3,840</td>
</tr>
<tr>
<td>Number of infant deaths (birth to 1 year)</td>
<td>39</td>
<td>35</td>
</tr>
<tr>
<td>Number of total deaths</td>
<td>1,294</td>
<td>1,324</td>
</tr>
<tr>
<td>Deaths from heart disease</td>
<td>378</td>
<td>363</td>
</tr>
<tr>
<td>Deaths from cancer</td>
<td>336</td>
<td>342</td>
</tr>
</tbody>
</table>

REFERENCES


Partnership to Fight Chronic Disease (PFCD). 2009. *Almanac of Chronic Disease*.


