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Predictive utility of the NEO-FFI for later substance experiences among 16-year-old adolescents --Manuscript Draft--

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Abstract:	<p>Purpose: The onset of substance use mostly occurs during adolescence. The aim of the present study is to investigate the relevance of personality on the basis of the NEO-Five-Factor-Inventory (NEO-FFI) to future experiences with tobacco, alcohol and cannabis.</p> <p>Methods: The test data were derived from the baseline assessment and first follow-up of the IMAGEN study, a European multicenter and multidisciplinary research project on adolescent mental health. In the present study 1004 participants were tested. The characterization of personality was conducted with the NEO-FFI at the age of 14 (T1). The data on substance use were collected with the European School Survey Project on Alcohol and Other Drugs (ESPAD) questionnaire at the age of 16 (T2). For the statistical analysis, t-tests and univariate analyses of variance were performed.</p> <p>Results: The scores of Conscientiousness at T1 were significantly lower for adolescents with tobacco, alcohol and cannabis experiences at T2. We found lower scores of Agreeableness at T1 in participants with tobacco and cannabis use at T2. Extraversion at T1 was significantly higher for adolescents with smoking experiences at T2. No significant associations between Neuroticism or Openness and future substance use were observed.</p> <p>Conclusion: Low scores of Conscientiousness and Agreeableness seem to have the greatest value for a prediction of later experiences with substance use. As the present study is the first one to examine the predictive value of the NEO-FFI for future substance use in an adolescent sample, further studies are necessary to enable a better applicability in a clinical context.</p>
Response to Reviewers:	<p>We thank for the helpful comments and hope that we have addressed all points raised by the reviewer.</p> <p>References</p> <ul style="list-style-type: none"> * References have not been made according to guidelines for authors. (Please refer to http://www.springer.com/medicine/health+informatics/journal/10389) * List of References should only include works that are cited in the text. * Please add access dates for all online sources respecting our formal guidelines for online sources. * Reduce number of quotations (* max. 30 in original works, * max. 50 in overviews) * References are not in alphabetic order. * References should not be numbered. * Please use Index Medicus for abbreviations of the journal title. * Please delete the full stop sign after each reference in your reference list. * Please name all authors, e.g. do not abbreviate using et al. <p>The list of References should only include works that are cited in the text and that have been published or accepted for publication. Personal communications should only be mentioned in the text. In the text, references should be cited by author and year (e.g.</p>

Hammer 1994; Hammer and Sjöqvist 1995; Hammer et al. 1993) and listed in alphabetical order in the reference list. Here are some examples:

Journals

Algenstaedt P, Windler E, Peiper M, Busch C, Bucheler E, Greten H (1994) Localized fibrous pleural mesothelioma: value of image-producing methods for the differentiation from supradiaphragmatic tumors of the liver. *Dtsch Med Wochenschr* 119:296-300

Bernard SA, Buist M (2003) Induced hypothermia in critical care medicine: a review. *Crit Care Med* 31:2041-2051

Books

Happyman A (1985) Pleural neoplasms. In: Studious B (ed) *Textbook on carcinoma*, 2nd edn. Springer, Berlin Heidelberg New York, pp 542-550

Charles C (2001) *Scientific innovation*. Wiley, New York.

Where available, the Digital Object Identifier (DOI) of the cited literature should be added at the end of the reference in question.

Ward J, Robinson PJ (2002) How to detect hepatocellular carcinoma in cirrhosis. *Eur Radiol* 12:2258-2272. DOI 10.1007/s00330-002-1450-y

We referred to guidelines for authors

(<http://www.springer.com/medicine/health+informatics/journal/10389>). Only references that were cited in the text are included. Number of references is reduced to 27 references and listed in alphabetical order. We deleted the full stop sign after each reference and named all authors avoiding using et al.

Citation

Cite references in the text by name and year in parentheses. Some examples:

- * Negotiation research spans many disciplines (Thompson 1990).
- * This result was later contradicted by Becker and Seligman (1996).
- * This effect has been widely studied (Abbott 1991; Barakat et al. 1995; Kelso and Smith 1998; Medvec et al. 1999).

We changed the citation style according to the guidelines for authors. Now we cite references by name and year in parentheses.

This concludes the list of all suggestions, and of how we reacted to each of them. We would be pleased if the reviewer sees our revision as a serious effort to incorporate the points raised and as an improvement of our manuscript.

Contributors

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Predictive utility of the NEO-FFI for later substance experiences among 16-year-old adolescents

Abstract

Purpose: The onset of substance use mostly occurs during adolescence. The aim of the present study is to investigate the relevance of personality on the basis of the NEO-Five-Factor-Inventory (NEO-FFI) to future experiences with tobacco, alcohol and cannabis.

Methods: The test data were derived from the baseline assessment and first follow-up of the IMAGEN study, a European multicenter and multidisciplinary research project on adolescent mental health. In the present study 1004 participants were tested. The characterization of personality was conducted with the NEO-FFI at the age of 14 (T1). The data on substance use were collected with the European School Survey Project on Alcohol and Other Drugs (ESPAD) questionnaire at the age of 16 (T2). For the statistical analysis, t-tests and univariate analyses of variance were performed.

Results: The scores of Conscientiousness at T1 were significantly lower for adolescents with tobacco, alcohol and cannabis experiences at T2. We found lower scores of Agreeableness at T1 in participants with tobacco and cannabis use at T2. Extraversion at T1 was significantly higher for adolescents with smoking experiences at T2. No significant associations between Neuroticism or Openness and future substance use were observed.

Conclusion: Low scores of Conscientiousness and Agreeableness seem to have the greatest value for a prediction of later experiences with substance use. As the present study is the first one to examine the predictive value of the NEO-FFI for future substance use in an adolescent sample, further studies are necessary to enable a better applicability in a clinical context.

Keywords

adolescence – personality – five-factor model of personality – NEO-FFI – substance use

Purpose

1
2 Adolescence is a time of essential experimenting during psychological, cognitive, psychic and emotional
3 development. In the context of many studies the early onset of substance use is indicated to be one of the most
4 important predictors for future substance use, and the development of addiction (DeWit et al. 2000; Prescott and
5 Kendler 2001) and the future consumption of illicit drugs (Kandel and Yamaguchi 1993). The three most
6 consumed substances in European adolescents are tobacco, alcohol and cannabis.
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10 The early onset of tobacco consumption may lead to addiction within only few years. Serious illnesses such as
11 bronchial carcinoma, COPD and coronary heart disease as well as structural brain deficits and impaired quality
12 of living may result (Centers for Disease and Prevention 2008; Gallinat et al. 2006; Kuhn et al. 2012). Moreover,
13 alcohol consumption at a young age is a main risk factor for future alcohol addiction in adulthood (Grant et al.
14 2006) and the development of addictions to more substances like nicotine (Dierker et al. 2013). Chronic cannabis
15 consumption as well as leisure consumption during puberty can lead to lasting cognitive impairment (Battistella
16 et al. 2014). Morphologic changes in the brain, for instance volume reduction of the grey matter in areas with a
17 high number of CB1-receptors have been reported (Battistella et al. 2014). In this context volume reduction
18 correlates to the frequency of consumption (Battistella et al. 2014). Furthermore there is evidence that suggests a
19 connection between cannabis consumption, schizophrenia and certain genetic variants (De Sousa et al. 2013). A
20 correlation between high consumption and onset of disorder in young age has been described (De Sousa et al.
21 2013).

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23 The NEO Five-Factor-Model of personality is a well-validated hierarchical organization of personality traits
24 using five dimensions (McCrae and John 1992). NEO is an acronym for the first three dimensions: Neuroticism
25 (e.g. the disposition to experience distress, sadness), Extraversion (e.g. the disposition to be outgoing, sociable)
26 and Openness (e.g. the disposition to seek new experiences, to be intellectually curious) (McCrae and John
27 1992). The two additional dimensions are Agreeableness (e.g. the disposition to be cooperative, compassionate)
28 and Conscientiousness (e.g. the disposition to be self-disciplined, reliable) (McCrae and John 1992).
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31 So far, studies suggest associations between the consumption of substances and personality (Whelan et al. 2014;
32 Woicik et al. 2009). The NEO-Five-Factor-Model of personality is a widely used model to describe personality.
33 Synopsis studies suggest that substance use is mainly found in participants with a high score of Neuroticism,
34 Extraversion, Openness and low score of Agreeableness and Conscientiousness (Clark et al. 2012; Fridberg et al.
35 2011; Malouff et al. 2007; McCann 2010; Salujha et al. 2014; Vollrath and Torgersen 2008; Waga and Iwahashi
36 2007): Concerning tobacco consumption Waga and Iwahashi found significantly high scores of Openness in
37 Japanese students who smoke (Waga and Iwahashi 2007). In their meta-analysis Malouff et al. revealed an
38 association between alcohol consumption and high score of Neuroticism as well as low scores of Agreeableness
39 and Conscientiousness (Malouff et al. 2007). So did Salujha et al. who additionally found high scores of
40 Extraversion and Openness in alcohol dependent participants (Salujha et al. 2014). In another study participants
41 with high scores of Neuroticism and Extraversion did not only drink more alcohol than other participants but
42 were also more prone to taking illicit drugs (Vollrath and Torgersen 2008). High scores of Openness and low
43 scores of Agreeableness and Conscientiousness were revealed by Fridberg et al. in cannabis smokers (Fridberg et
44 al. 2011).
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1 While there exist many cross-sectional studies there is little literature concerning the predictive value of
2 personality and substance use: Pluess and Bartley collected data suggesting high scores of Conscientiousness in
3 adolescence to be a significant predictor for low tobacco smoking at the age of 50 (Pluess and Bartley 2015).
4 Zvolensky et al. revealed high scores of Neuroticism and Openness as predictors for tobacco smoking within ten
5 years in an US sample, whereas high scores of Conscientiousness seemed to be a protective factor for tobacco
6 smoking or the development of occasional smoking to habitual smoking (Zvolensky et al. 2015).
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9 Since most studies have a cross-sectional design, they focus on the association between the scores of the five
10 dimensions of the NEO Five-Factor-Model of personality and substance use (Clark et al. 2012; Fridberg et al.
11 2011; Malouff et al. 2007; McCann 2010; Salujha et al. 2014; Vollrath and Torgersen 2008; Waga and Iwahashi
12 2007). Only few longitudinal studies exist with the focus on the predictive value of these dimensions for later
13 substance use. The present study is the first one to examine this topic in a European 14 to 16-years-old sample,
14 since at that age the onset of smoking, alcohol and cannabis consumption mostly occurs.
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22 **Methods**

23 *Participants*

24 The test data were derived from the baseline assessment and first follow-up of the IMAGEN-Study, a European
25 multicenter and multidisciplinary research project on adolescent mental health, under consideration of
26 personality traits, brain activity and genetic predisposition (Schumann et al. 2010). The study started in
27 December 2007 at eight study centers in England (London, Nottingham), Ireland (Dublin), France (Paris) and
28 Germany (Berlin, Mannheim, Dresden, Hamburg). Follow-up examinations were performed at intervals of two
29 and four years after the baseline assessment. The participants' recruitment took place in secondary schools and
30 was based on two criteria: 1) Greatest possible diversity in terms of socio-economic status, cognitive and
31 emotional development, 2) minimization of the ethnic heterogeneity by selecting a sample of young people with
32 European ethnicity (Schumann et al. 2010).
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41 For the present investigation, only the data of the baseline assessment (=T1) and first follow-up (=T2) were
42 analyzed and only those participants were considered, who had completed the NEO Five-Factor-Inventory and
43 ESPAD questionnaire: Those were 998 participants, 530 (53.1%) of them were males and 468 females. The
44 average age at the baseline assessment was 14 years \pm 3 months and at the first follow-up 16 years \pm 3 months.
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51 *NEO Five-Factor-Inventory*

52 The NEO Five-Factor-Inventory was adapted for the IMAGEN study and was part of a computerized test battery
53 that the participants performed at each research institute using Psytools, Delosis UK. Participants rated how
54 much each one of the 60 items applied to them on a Likert-scale ranging from "strongly agree" to "strongly
55 disagree". Total scores for each dimension were derived from each participant's responses to the 12 items for
56 each dimension ranging from 12 points to 60 points (McCrae and John 1992).
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ESPAD

The by the European School Survey Project on Alcohol and other Drugs developed ESPAD questionnaire was also adapted for the IMAGEN study and part of the computerized test battery using Psytools, Delosis UK. The ESPAD questionnaire is widely used for international studies on prevalence of substance use and drug abuse among children and adolescents (Hibell et al. 2000; Hibell et al. 2004). In the present study three items were used, asking about the lifetime prevalence of tobacco, alcohol and cannabis consumption with the aim to distinguish adolescents with and without experiences with each substance.

Statistical analysis

IBM SPSS Statistics 21 for Windows was used for the analysis of the study data. The division of the mean scores of each dimension of the NEO Five-Factor-Model by their medians showed a normal distribution for each dimension. Therefore we used t-tests after alpha-adjustment via Bonferroni correction ($p=0.0083$) and ANOVA.

Ethics

The study protocol was approved by the local ethic boards of all study partners. Written informed consent was obtained from all legal guardians and assent was obtained from the adolescents.

Results

Participants came from three different nations: 432 from Germany (43%), 423 from Great Britain (42%) and 143 from Ireland (15%). On a percentage basis, at the age of 16 German participants had more experiences with tobacco, alcohol or cannabis. A significant difference could be found in experiences with tobacco ($F=7.822$, $p<0.001$) and alcohol ($F=12.266$, $p<0.001$) in German and British adolescents. Participants' experiences with substances at the age of 16 are shown in Figure 1.

Male and female participants were equally experienced.

As shown in Figure 2-4, analysis of NEO-FFI scores revealed that the mean scores of Neuroticism and Extraversion at T1 were higher for substance-experienced participants as compared to unexperienced participants at T2. However, a significant difference could only be found for Extraversion and tobacco smoking ($t=3.357$, $p<0.001$). Mean scores for Agreeableness at T1 in participants with substance experience at T2 were lower as compared in participants without experiences, which showed a significant difference in tobacco ($t=-5.206$, $p<0.001$) and cannabis experience ($t=-2.806$, $p=0.005$). Mean scores for Conscientiousness at T1 were significantly lower for all substance experienced participants as compared to unexperienced at T2 ($t=-5.988$, $p<0.001$; $t=-3.804$, $p<0.001$; $t=-4.186$, $p<0.001$). Mean scores for Openness at T1 did not differ significantly on participants with or without substance experiences at T2 and were lower in participants with tobacco experiences and higher in participants with alcohol and cannabis experiences, see Table 1.

Discussion

1 In our analysis on a large cohort of 998 adolescents, we found low scores of Agreeableness in 14-year-olds with
2 later substance experiences, being significant with tobacco smoking and cannabis experiences as shown in Table
3 2. In terms of the Five Factor Model of personality, Agreeableness reflects a disposition to cooperation and
4 compassionate as well as positive attitudes towards others (McCrae and John 1992). As these are attributes not
5 commonly associated with substance users, a low score of Agreeableness in smokers and cannabis users in the
6 present study was expected. The individual interest to consume a substance is placed first before interests of
7 others. Furthermore, we found that a low score of Conscientiousness at the age of 14 is a significant predictive
8 factor for experiences with all three substances at the age of 16. As Conscientiousness measures the level of self-
9 discipline and reliability, a low score seems to imply that participants are more prone to trying out substances.
10 This is supported by the findings in the present study as well in other studies (Pluess and Bartley 2015;
11 Zvolensky et al. 2015). While for low scores of Conscientiousness Pluess and Bartley as well as Zvolensky et al.
12 revealed the predictive value for later substance use, for low scores of Agreeableness Malouff et al. as well as
13 Salujha et al. and Fridberg et al. could only reveal an association, no study – as far as known - showed
14 Agreeableness to be a predictive factor. Concomitant, several studies revealed an association between low scores
15 of Conscientiousness and substance use (Fridberg et al. 2011; Malouff et al. 2007; Salujha et al. 2014),
16 suggesting Conscientiousness being the most important predictive value of the dimensions of the NEO Five-
17 Factor-Model of personality for later substance use and being an important factor for maintaining substance use.
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26 We observed higher scores of Neuroticism in 14-year-olds who had substance experiences at the age of 16.
27 These results were not significant however, as they were for Malouff et al. in tobacco smokers (Malouff et al.
28 2007) and for Salujha in alcohol dependent participants (Salujha et al. 2014) as well as Vollrath and Torgersen in
29 alcohol consumers (Vollrath and Torgersen 2008). As these are cross-sectional studies, the results suggest that
30 Neuroticism plays an important role in maintaining substance use but not necessarily in developing it. However,
31 Zvolensky et al. found a significant coherence at high scores of Neuroticism and developing tobacco smoking
32 examining an adult sample double the size of the present study (Zvolensky et al. 2015). High scores of
33 Neuroticism indicate that participants tend to experience distress or sadness more often. Distress is one of the
34 main reasons to initiate substance use as Hyman and Sinha found out for cannabis use (Hyman and Sinha 2009).
35 Substance use might be used for emotional modulation. However, these findings cannot be supported by the
36 present study with an adolescent cohort. As Salujha et al. and Vollrath and Torgersen, we found high scores of
37 Extraversion in substance-experienced participants (Salujha et al. 2014; Vollrath and Torgersen 2008). However,
38 our results were significant with tobacco smoking but not with cannabis or alcohol experiences. In alcohol abuse,
39 level of sensitivity to alcohol rather than personality factors predict intake during adolescence (Hinckers et al.
40 2006). As Extraversion describes the disposition to be outgoing and sociable, participants with a high score on
41 this dimension presumably can report of an easier availability of substances. These individuals can find
42 stimulation in substance use in a social context such as smoking tobacco. While we could not reveal Openness to
43 be a predictive factor for later substance experiences, several authors found an association between high scores
44 of Openness and substance use (Fridberg et al. 2011; Salujha et al. 2014; Waga and Iwahashi 2007). Participants
45 with a high score on Openness are curious for new experiences which they might find in the consumption of
46 substances. Again, we refer to the cross-sectional designs of the other studies and smaller, adult samples as
47 compared to our adolescent cohort.
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61 *Strengths and limitations*

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1 In the present study we used the NEO-FFI and ESPAD questionnaire which are retrospective instruments
2 requiring participants' solid memory and truthful answers. However, being part of a computerized battery of
3 questionnaires to be answered at home participants were able to take as much time as needed in a domestic
4 environment.
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6 A remarkable feature of the present work is the size and international nature of the study population with
7 participants from different socio-economic backgrounds and developmental stages, presumably enabling the
8 transfer of the results to a large part of European adolescents. However, only Caucasian adolescents were
9 included so that a reliable transfer of the findings is limited to only this ethnic group. An extension of the study
10 to other continents and ethnic groups may reveal further results and also allow regional comparisons.
11 Considering future research projects, the longitudinal design of the IMAGEN study is another significant
12 strength enabling tracking of cognitive and behavioral changes until adulthood and identifying predictive factors
13 for later behaviours such as substance use.
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22 **Conclusion**

23 The present study presents an investigation analyzing the predictive value of the NEO-FFI for the development
24 of substance use on an adolescent European sample.
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27 At this time, the NEO-FFI cannot be used as an ultimate predictive instrument for future substance experiences.
28 However, a low score of Conscientiousness was the most important factor for a prediction of later experiences
29 with substances in this study. Future studies should ascertain the causality of personality for substance use for
30 the development of individual strategies for prevention and treatment of substance use and potential substance-
31 related addiction.
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Conflict of interests

The authors declare no conflict of interest.

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Figure 1 Experiences with substances at T2

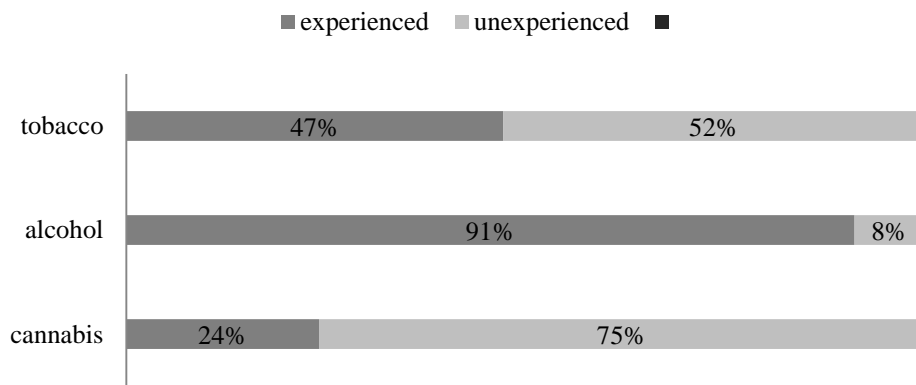


Figure 2 NEO-FFI dimension scores for tobacco experienced (n=472) and unexperienced (n=526) participants
** p<0.001, t-test

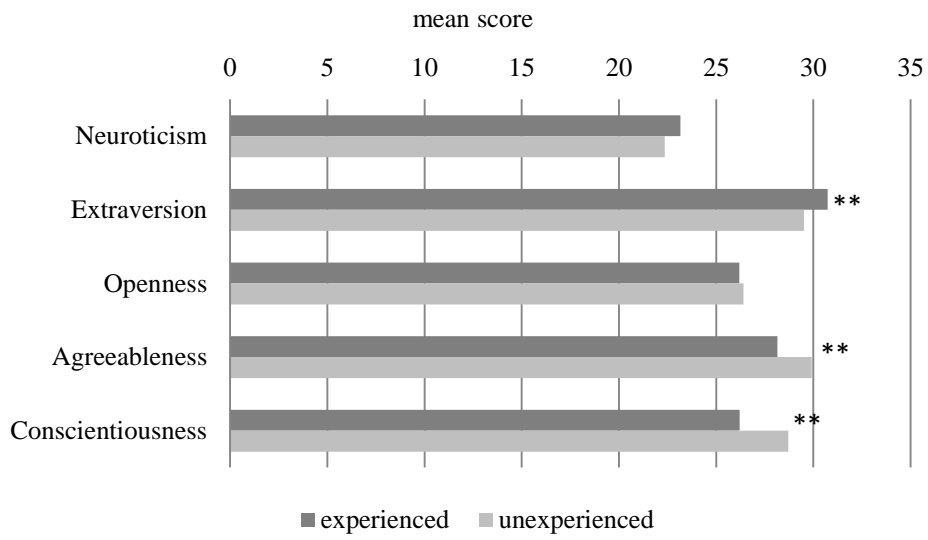


Figure 3 NEO-FFI dimension scores for alcohol experienced (n=911) and unexperienced (n=87) participants
** p<0.001, t-test

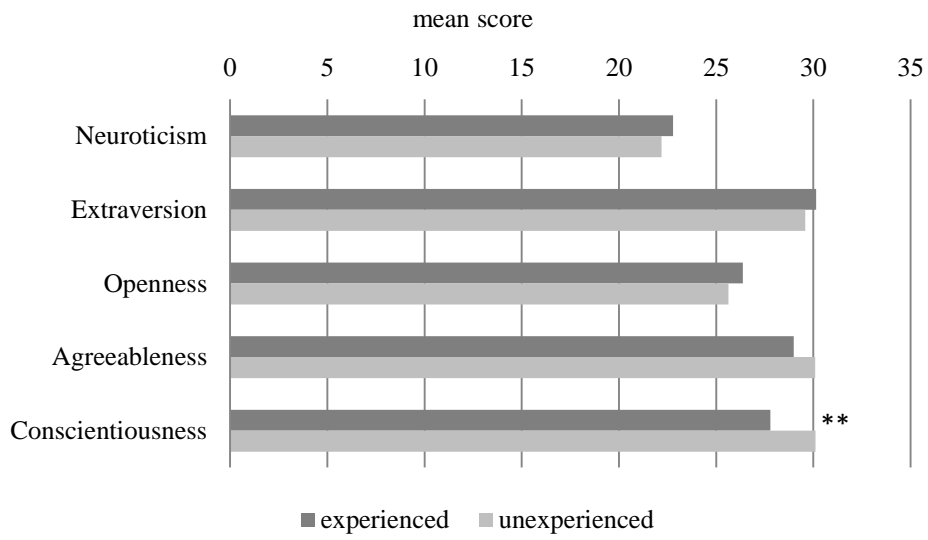


Figure 4 NEO-FFI dimension scores for cannabis experienced (n=241) and unexperienced (n=757) participants
*p<0.0083 ** p<0.001, t-test

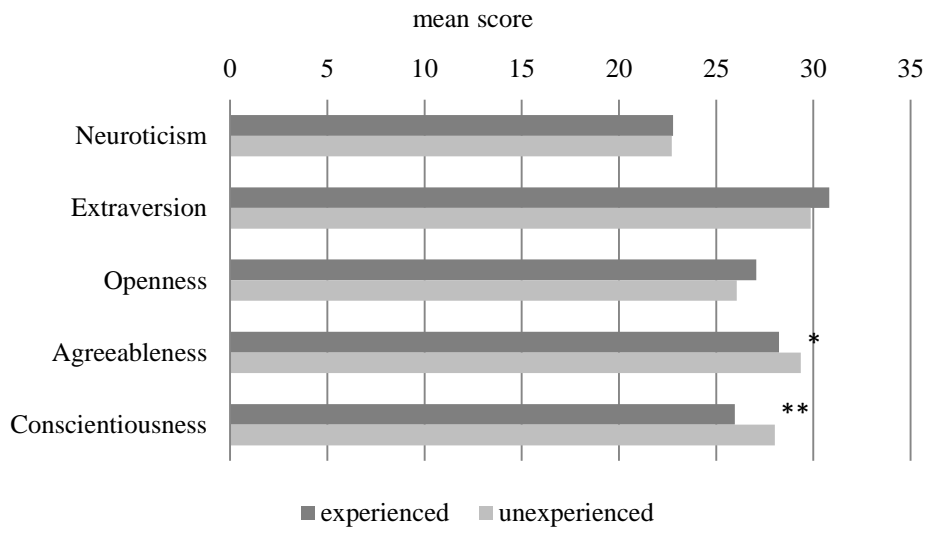


Table 1 NEO-FFI dimension scores for substance experienced and unexperienced participants

	Factors	Mean (SD)		t-value	Cohen's d
		Experienced	Unexperienced		
Tobacco	Neuroticism	23.16 (7.59)	22.35 (7.13)	1.726	-0.11
	Extraversion	30.73 (5.76)	29.51 (5.74)	3.357	-0.24
	Openness	26.20 (6.05)	26.41 (5.92)	-0.548	0.035
	Agreeableness	28.16 (5.44)	29.91 (5.17)	-5.206	0.33
	Conscientiousness	26.20 (6.29)	28.70 (6.85)	-5.988	0.379
Alcohol	Neuroticism	22.78 (7.39)	22.20 (7.13)	0.712	-0.085
	Extraversion	30.14 (5.73)	29.58 (6.28)	0.864	-0.09
	Openness	26.37 (6.02)	25.63 (5.53)	1.101	-0.133
	Agreeableness	28.98 (5.42)	30.09 (4.75)	-1.843	0.231
	Conscientiousness	27.27 (6.66)	30.12 (6.68)	-3.804	0.433
Cannabis	Neuroticism	22.78 (7.50)	22.72 (7.32)	0.105	-0.008
	Extraversion	30.81 (6.01)	29.86 (5.69)	2.248	-0.165
	Openness	27.07 (6.15)	26.06 (5.91)	2.282	-0.169
	Agreeableness	28.24 (5.14)	29.35 (5.42)	-2.806	0.207
	Conscientiousness	25.96 (6.51)	28.02 (6.39)	-4.186	0.321

Table 2 Score of dimensions in participants with substance experiences as compared to unexperienced participants.

* $p > 0.0086$ ** $p < 0.001$, *t*-test

Factor	tobacco	alcohol	cannabis
Neuroticism	↑	↑	↑
Extraversion	↑**	↑	↑
Openness	↓	↑	↑
Agreeableness	↓**	↓	↓*
Conscientiousness	↓**	↓**	↓**