IMPLEMENTING POLICY TO PREVENT ALCOHOL, TOBACCO AND OTHER DRUG MISUSE:

A GUIDEBOOK

Southeast (HHS Region 4)
PTTC
Prevention Technology Transfer Center Network
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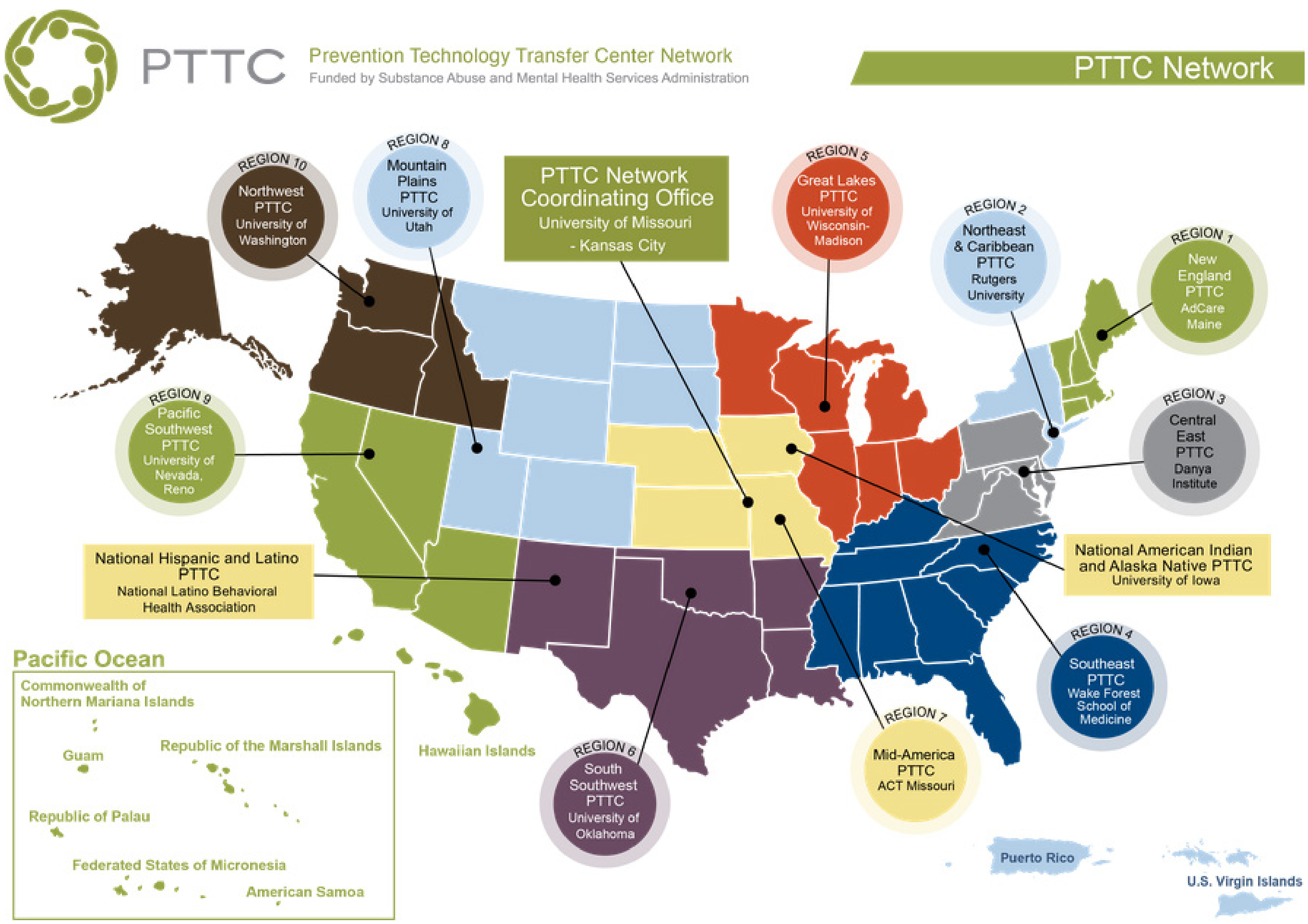

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Southeast (HHS Region 4)

PTTC

Prevention Technology Transfer Center Network

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What is the PTTC?

The Prevention Technology Transfer Center (PTTC) Network was established in 2018 by the Substance Abuse and Mental Health Services Administration (SAMHSA) and is comprised of 10 Domestic Regional Centers, 2 National Focus Area Centers, and a Network Coordinating Office. Our goal is to enhance the capacity of the prevention community to effectively plan, implement and evaluate strategies to reduce substance misuse and its consequences The PTTC Network also provides training and technical assistance services to the substance abuse prevention field. The Southeast Prevention Technology Transfer Center (PTTC) at Wake Forest School of Medicine serves Region 4 (AL, FL, GA, KY, MS, NC, SC, and TN).

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The Policy Guidebook

The Policy Guidebook provides a framework for advancing evidence-based policy strategies in local communities. The development, implementation and enforcement of local policies can benefit communities by making alcohol, tobacco and other drugs less accessible, less affordable to youth, and reduce initiation. New policies can also provide resources for prevention practitioners in addition to the training opportunities offered throughout the year. This Guidebook was adapted from Implementing and Supporting Policies to Prevent Alcohol, Tobacco and Other Drug Misuse Information Guide Series funded by the North Carolina Department of Health and Human Services Division of Mental Health, Developmental Disabilities, and Substance Abuse Services.

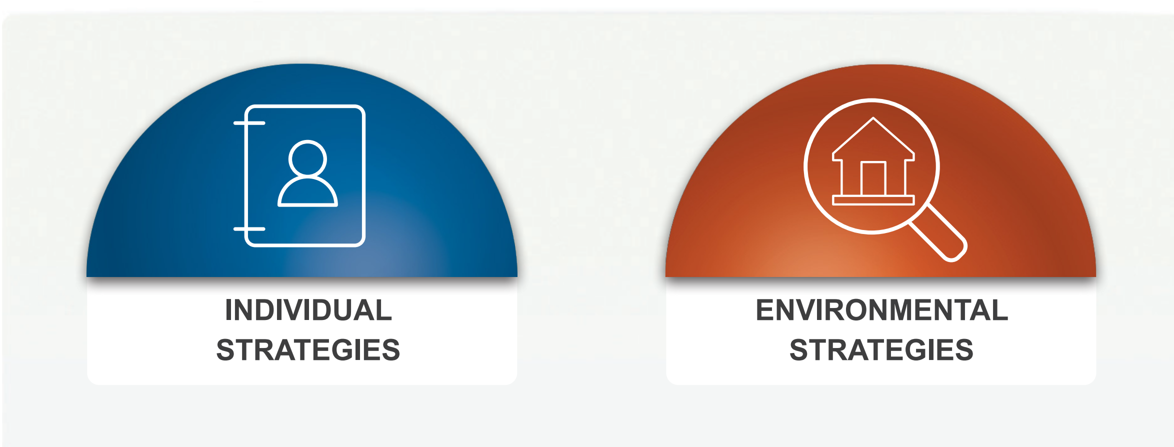
Individual Versus Environmental Prevention Efforts

Efforts to prevent substance use generally fall under one of two broad approaches: individual and environmental strategies (USDHHS, 2007, 2014, 2016). Individual strategies focus on changing individual's attitudes and intentions, providing knowledge, and developing skills to help resist influences leading to substance use. (USDHHS, 2007: 28). Individual-based prevention programs involve working repeatedly with individuals and small groups. A tremendous amount of resources are needed to reach a large portion of the community population.

The second approach focuses on changing environments. The intervention efforts shift from changing individual behaviors to changing the environments that shape individual behavior. Environmental strategies look at the causes of inequities such as the systems, policies and practices that influence unequal allocation of power and resources. The Substance Abuse and Mental Health Services Administration (SAMHSA) defines environmental strategies as "aimed at the settings and conditions in which people live, work, and socialize." (SAMHSA, 2017). These lead to a host of risk factors influencing individual behaviors like substance misuse. Research demonstrates behaviors can be changed by modifying policies, practices, and social norms (Stokols, 1996; NIAAA, 2006, Treno & Lee, 2002). SAMHSA recommends environmental strategies as one of six prevention approaches in the Strategic Prevention Framework to help address substance misuse.

Environmental strategies can be policies increasing product price, limiting the density of retail alcohol or tobacco outlets, lowering the blood alcohol concentration (BAC) limit for impaired driving, limit the prescribing of opioid analgesics, and raising the minimum legal smoking age, as well as related enforcement efforts (USDHHS, 2007: 28; SAMHSA, 2017).

Environmental strategies support and enhance individual-based strategies. Together, they create a culture and social norms that reinforce the goals of individual approaches. Individual prevention programs that do not consider the environments in which individuals live can be less effective. For example, programs that teach youth resistance skills may be undermined when young people are exposed to messages glamorizing substance use, can easily purchase or obtain alcohol, tobacco or other drugs, and think there are no penalties associated with underage use. **Ultimately, the prevention field will find significant gains and positive outcomes when they utilize a comprehensive, multipronged approach.**



Applying an Equity Lens

The environmental strategy of policy change can play an important role in preventing alcohol, tobacco and other drug (ATOD) use while reducing racial disparities. When coalitions apply an equity lens, health and equity needs to be ensured through the advocacy, policy and policy process. This requires a critical analysis of the history of commercial products and their marketing strategies. It is paramount to develop a diverse community coalition that includes the voices of historically marginalized communities. We refer to a “coalition” as the entity or group moving the policy forward.

The Policy Approach

Policies can shift the focus on solving ATOD-related problems from the individual to the community settings when coupled with compliance and enforcement. The focus then becomes regulating the sale, use, consumption, promotion, or consequences of ATOD. Local ATOD policies and compliance efforts can change attitudes, behaviors, and community norms.

PUBLIC VERSUS ORGANIZATIONAL POLICIES

ATOD policies rely on environmental management strategies to alter local conditions influencing ATOD use (i.e. the availability, accessibility, and desirability of ATOD). Using environmental strategies and policy is crucial for changing the attitudes, behaviors, norms, and consequences of ATOD use on a larger scale. ATOD policies are either public or organizational policy, depending on the environmental strategies used and the agency that implements the policy.

Public policies are laws and ordinances affecting how a product is sold or distributed, where it is consumed, its price and marketing, and underage access. Public policies are usually enacted by an elected body, such as a City Council or a County Board of Commissioners. Some examples of public policies include increasing excise taxes, restricting ATOD use in public places, and establishing minimum age requirements.

Organizational policies are rules and/or guidance as to how each individual organization manages ATOD use. These are implemented by various community sectors such as schools, businesses, families, groups, or clubs. One example of an organizational policy is the use of secure and continuous remote alcohol monitoring.

Policies alone rarely make population level changes. Policies should be partnered with a credible threat of enforcement and consequences (National Research Council, 2003). The community must be aware the policy is in effect. An awareness campaign is an essential component of effective policy work (see Policy Steps). This guide describes a 10-step process to help communities address ATOD misuse and the associated problems in the community. It will go over developing, promoting, implementing and supporting the compliance and awareness of policies (public and organizational).

Benefits of a Comprehensive Approach

Policies have the potential to bring about dramatic reductions in substance use and misuse. This is possible because they can create changes in system-wide processes impacting entire communities.

When considering policy as an intervention, it is important to think about policy as one part of a comprehensive approach addressing substance use and misuse. To ensure the implementation of strategies, policy, compliance elements and efforts to build awareness must be included.

In addition, consider using multiple policies to develop a comprehensive approach.
For example, Communities Mobilizing for Change on Alcohol include:

- Mobilizing the community
- Encouraging Responsible Beverage Service at bars, restaurants, and liquor stores
- Reducing underage drinking by limiting access to alcohol
- Increasing local enforcement of drinking-and-driving laws
- Limiting access to alcohol by using community-zoning restrictions.

Essentially, the more alcohol supply channels affected through environmental strategies, the more successful efforts will be to stem the flow of alcohol to underage youth. There is evidence it is critical to focus on commercial and social sources to avoid the shifting of sources based on shutting down either supply.

Another comprehensive approach focuses on countering the marketing of the alcohol and tobacco industries at the point of sale, where the products are heavily advertised and widely available to consumers. These policies are often aimed at transforming the retail environment and the four P's of marketing that are used by industry to promote their products to consumers – **Price, Place, Product and Promotion.**

Price includes retail pricing and discount strategies

Place refers to where products are sold and their availability to consumers.

Product refers to a good or service that a company offers to customers.

Promotion refers to advertising, displays, direct marketing and related strategies.

Policies aimed at these elements can be implemented altogether or one at a time. This will depend on the jurisdiction, its retail environment, community support and political conditions. Some examples of effective policies that target the four P's include:

- Restricting the redemption of coupons and buy one, get one offers (price),
- Restricting the sale of menthol cigarettes (product),
- Limiting the location and number of Cannabis dispensaries in a community (place)
- Restricting alcohol and tobacco advertising around schools and playgrounds (promotion)

For more info on strategies to address the retail environment, see the Point of Sale Playbook by ChangeLab Solutions: changelabsolutions.org/sites/default/files/Point_of_Sale_Playbook FINAL_20160105.pdf

How Do You Implement Policy?

Across the U.S., prevention providers and community coalitions are advocating for policies to improve the health and safety of communities. However, getting policies adopted can be a challenging process, marked by trial and error. This guide describes the Policy Adoption Model, an effective approach to implementing policy in local communities.

The Policy Adoption Model was developed in the context of the challenges local communities experienced. They struggled to pass a range of city and county alcohol policies, including social host, alcohol outlet density, and mandatory server training ordinances.

The model is based on the work of local community coalitions but can be used by any coalition or organization considering policy as a way to address substance misuse prevention. It is made to be partnered with strong community representation to bring about change.

10-Step Policy Adoption Model

The Policy Adoption Model consists of ten “policy steps” that can be used to adopt both public and organizational polices. The steps should be followed more or less in sequential order. We have included a quick reference summary of the steps. Each step is described in detail with supporting activities that found in the Appendix starting on page 34.

The model is broken into 2 phases – 1) the internal steps and 2) the external steps.

The first five INTERNAL steps are not public and are generally done ‘behind the scenes’ by the coalition or group working on the policy campaign.

5 INTERNAL STEPS:

Steps 6 through 10 are the EXTERNAL steps, meaning they are done in the public eye.

The external steps of the policy campaign are strategically targeted at groups or individuals to support and adopt a policy solution.

5 EXTERNAL STEPS:

Preemption

Preemption is a critical issue for public health and can have important implications for policy advocates and policymakers – especially those working at the local level.

BASICS OF PREEMPTION

Preemption is a legal concept defined as a higher level of government restricting or withdrawing the authority of lower levels of government. In the United States, many levels of government (i.e. Congress, state legislatures, city councils, county boards, regional authorities, etc.) are regularly making new laws and revising existing ones.

The basis for the federal government's authority to preempt state and local law is the Supremacy Clause of the U.S. Constitution. This establishes the U.S. Constitution and federal laws as the supreme law of the land. The states are afforded the authority toregulate in all other areas by the 10th Amendment of the U.S. Constitution. State-level preemption functions in a similar manner. **The ability of local governments to regulate are both limited and authorized by their state's constitution and laws.**

The purpose of preemption is to prevent a patchwork of laws, and is itself, not inherently "good" or "bad." In the context of public health, preemption can be an important tool or a barrier. For example, uniform state-level policies on quarantines and vaccinations can be beneficial and necessary for limiting the spread of communicable diseases. However, state prohibitions on local outdoor smoking bans may create a barrier to communities seeking to reduce harms caused by secondhand smoke.

Preemption of any given policy should not be presumed; it must be evaluated on a case-by-case basis. Preemption typically takes one of two forms: express or implied.

1. **Express preemption** occurs when a law explicitly states it prohibits lower levels of government from legislating on a topic. Even when a law contains express preemptive language, there may still be an issue as to its scope and effect on further lawmaking.
2. **Implied preemption** is harder to spot and takes two forms: field preemption and conflict preemption.

   a. **Field preemption** occurs when a regulatory scheme is so extensive that it leaves no room for further regulation by a lower level of government (i.e. federal immigration laws).

   b. **Conflict preemption** occurs when (1) it is impossible to comply with laws passed by two different levels of government on a single topic or (2) a law interferes with the objectives of a law passed by a higher-level of government.

Complicating preemption is that its scope may vary. Depending on the wording, a law may preempt all action on a topic or just certain aspects. "Ceiling" preemption prohibits lower levels of government from adopting any stronger laws on a topic. "Floor" preemption establishes minimum standards while allowing lower levels of government to adopt stronger policies.

STATE DELEGATION OF AUTHORITY

In the United States, local governments derive their authority from state government. A state's constitution and legislature will dictate the extent of its local governments' policymaking powers. In general, there are two manners by which states delegate powers to local government: **Home Rule and Dillon's Rule**.

- Home Rule refers to a delegation of broad powers to local governments allowing wide discretion to act on matters of local concern (all powers not reserved by the state).
- Dillon's Rule refers to a delegation of limited powers to local governments (only those powers explicitly given by the state).

NAVIGATING THE ISSUE OF PREEMPTION AND GOVERNMENTAL AUTHORITY

When establishing a new law – whether at the state or local level – it is necessary to determine if it may be preempted by a higher level of government. A simple starting point for conducting this analysis is to inquire if similar government bodies already have such a policy (Does another state have the policy? Does another city already have this law?).

The next step is to search state and federal law. Look for any broad statements that express an intent to prohibit a topic or establish a "floor" for regulation. Also, it is recommended to consult with an attorney or organization, such as the Public Health Law Center, who provides legal technical assistance.

Draft the Policy Action Statement

STEP 1 FOCUSES ON DRAFTING THE POLICY ACTION STATEMENT.

A policy action statement is a short statement outlining the work of the coalition carrying out a policy campaign. It identifies the decision makers who need to be educated and influenced to adopt the policy, as well as identifying a candidate to support the policy.

The policy action statement brings clarity to the coalition to describe key components. The statement also serves as a roadmap when the coalition is months into the campaign and wondering “what are we doing again?” and “why are we doing this?”

The policy action statement is a condensed (approximately 30-word) statement that does the following things:

- States the actual problem to be addressed – a brief description
- States the policy solution – names the actual policy
- States what the policy will do – briefly describes the impacts
- States who will benefit from the policy – identifies who will be positively impacted
- States the policymakers who can make it happen – identifies the “targets” who ultimately adopt the policy

Below are six examples of policy action statements; three for organizational policies (or “Small P”) and three for public policies (“Big P”). Please note the examples provided are from communities from around the country. It is critical to determine whether a particular policy is feasible in your state and local legal environment. For more guidance on how to construct a policy action statement, see Appendix A.

FIGURE 1: POLICY ACTION STATEMENT EXAMPLES

ORGANIZATIONAL POLICY

ALCOHOL EXAMPLE

The local service club adopts a policy requiring alcohol at club events be served by people who have received responsible beverage service (RBS) training, in order to reduce the potential for DWIs.

OPIOID EXAMPLE

The ABCD Pharmacy chain adopts a corporate policy to install and maintain a prescription drug drop box at each of its stores to reduce the availability and diversion of opioids and other prescription drugs with abuse potential.

TOBACCO EXAMPLE

Bob's local convenience store will no longer sell tobacco products to reduce rates of tobacco use and improve community health.

PUBLIC POLICY

ALCOHOL EXAMPLE

The Anytown City Council passes a local ordinance holding social hosts accountable for loud and unruly parties on their property. Thus, reducing the negative consequences of these parties involving partygoers and neighborhood nuisances. (Sometimes called Social Host Ordinances.

OPIOID EXAMPLE

City council will require that all pharmacies in the city limits must provide a permanent prescription drug drop box at their location to reduce the availability and diversion of opioids and other prescription drugs with abuse potential.

TOBACCO EXAMPLE

The City Council passes a local ordinance prohibiting the use of tobacco products in all City- owned and managed parks to reduce youth and adult exposure to second-hand smoke and environmental concerns associated with tobacco litter.

STEP 2

Building Compliance of the Policy with the Organization or Entity Responsible

Achieving compliance with policies is central to their effectiveness. Many polices with the most evidence of success are public policies requiring some level of compliance or enforcement. Some examples include:

- **A city ordinance that requires server training.** To be effective, this policy would need a city department to ensure merchants enroll all servers in the training within the required time.
- **Adopting a hospital policy requiring all prescribers to review individual controlled substance records before prescribing opioids.** To be effective, this policy would need to ensure prescribers are registered with the state's controlled substance reporting system, have access to the system via medical records, and have training to recognize red flags.
- **Adopting a local policy requiring all tobacco retailers pay a licensing fee to the municipal government.** Compliance with this policy requires the city to establish a collection protocol and monitoring methods to ensure all merchants are compliant.
- **Passing a local cannabis ordinance prohibiting outlets from having any exterior facing advertising or promotions.** Local law enforcement or code enforcement would be required to survey outlets periodically for compliance. In addition, a local hotline could be established for community complaints. The city would need to implement a citation protocol.
- **Establishing a police department policy mandating on-going compliance checks to prevent service to intoxicated patrons.** This would require law enforcement to spend time in on-premise establishments to observe serving practices.

Without active promotion of compliance, policies are less likely to be effective, and will not reduce the problems they are intended to address.

Active Compliance

Without active promotion of compliance, policies are less likely to be effective, and will not reduce the problems they are intended to address.

TABLE 1: POSSIBLE COMPLIANCE EXAMPLES BY POLICIES

ORGANIZATIONAL POLICY	POSSIBLE COMPLIANCE ENTITIES
• School policy on ATOD-related student suspensions	• School Superintendent/Principal School Resources Officer
• Local service club policy requiring all individuals serving alcohol at club events have received responsible beverage service training	• Service club board of directors Service club committee chair Service club president

PUBLIC POLICY	POSSIBLE COMPLIANCE ENTITIES
• Municipal alcohol outlet density policy	• Local law enforcement agency Code enforcement
• Municipal property maintenance policy	• Code enforcement

Table 1 above shows examples of compliance entities based on the type or focus of the policy. Engaging the appropriate group or individual early in the policy campaign is essential. This increases the likelihood of compliance. No agency wants to be told to enforce a policy that they had no input in developing. Engaging the compliance agency early in the policy development process can have additional benefits:

- **Facilitate collection of local data:** Policies need to be backed by data. Partnering with the appropriate compliance body allows you to collect data or have access to existing data and any other required data. The police department is a good example of an agency that can contribute significant amounts of data to support a policy. In the case of a community addressing substance misuse at local house parties, the police department can provide data on calls for service to address underage drinking parties.

The same is true for an organizational policy. For example, in a service club policy, the coalition may need data from the service club about the kinds of problems or consequences that are occurring at events where alcohol is served.

- **Selection of policy responses**: The agency responsible for compliance of a policy is probably in the best position to identify provisions that would be enforceable or not. It is important to develop a policy that makes it possible, and easy, for the compliance body to do its job.
- **Crafting policy language:** For public policies, like mandatory statewide responsible server training, the coalition should draft the initial policy language. This allows the group to form its ideal policy as a starting point. The compliance agency will likely have much to add in terms of policy language. Encourage the compliance agency to be part of the drafting process; it will build commitment to implementing the policy, as well as to the campaign to get the policy passed

For organizational policies, it may be best to work collaboratively with the compliance group or person from the start to develop language. Organizational policies are generally far less subject to legal review and analysis than public policies. This makes a collaborative process from the onset preferable. In all cases, it is important the coalition does not give all responsibility for crafting the language of the policy to another person or entity. For a more guided exercise on making connections to support compliance, see Appendix B.

STEP 3

Collect Data Establishing a Link Between the Community Condition and the Proposed Policy

Policies require a set of findings to link the policy solution to the identified problem. With public policies, the data is usually in “whereas” statements. Whereas statements provide a foundation for the provisions that address a specific problem.

It is helpful to have a framework to guide data collection efforts. One of the major challenges local coalitions face is knowing when they have collected the “right” kind, or a “sufficient” amount data to support the policy. The Policy Adoption Model provides a three-tier framework for data (5000’, 1000’ and ‘on the ground’ data):

5000 FOOT LEVEL DATA

Information at the 5000-foot level demonstrates there is a basic problem in the population targeted. For example, is there an underage drinking, tobacco or vaping, or prescription drug misuse problem in your community? How do you know? What compelling data do you have that would convince community members and decision makers that the problem is real and deserves attention? Table 2 provides examples of local data communities have found compelling to make the case underage drinking is an issue deserving attention.

TABLE 2. 5000 FOOT LEVEL DATA FOR UNDERAGE DRINKING

- 30 day use rates
- Age of initiation
- Binge drinking rates
- Number or rates of alcohol-related emergency room admissions
- Number or rates of citations for underage possession of alcohol

1000 FOOT LEVEL DATA

1000 foot-level data links the drinking behaviors to specific high-risk settings. When implementing policy interventions, we seek to modify high-risk settings where risky behaviors occur. In the case of underage drinking, many communities find home parties are where youth drink.

Often, this setting creates severe consequences. The public policy response to house parties is usually the adoption of a local Loud/Unruly Party Ordinance.

It is likely youth drink in risky ways in other settings. Many communities are turning their attention to underage alcohol consumption at community events, generally hosted by a local service or community organization. Modifying these high-risk community events involves organizational policies by relevant community organizations.

Table 3 provides examples of 1000-foot data linking underage drinking to a specific setting in the community. The identification of the setting provides a foundation for a specific policy response. Examples of 1000-foot data include:

TABLE 3. 1000 FOOT LEVEL DATA FOR UNDERAGE DRINKING	
1000' Data for Home Parties – Public Policy	**1000' Data for Community Event – Organizational Policy**
· One-on-one interviews with residents · Number of DWI arrests with place of last drink showing 'parties' as a frequent place of last drink · Youth focus group/listening sessions · Police call for service data · Emergency room admissions with place of last drink data · School members	· One-on-one interviews with residents · Number of citations for underage possession of alcohol issued at these events · Youth focus group/listening sessions · Police call for service data · Surveys · Interviews with event alcohol servers

"ON THE GROUND" DATA

5000-foot data shows there is an underage drinking problem in the community. 1000-foot data identifies one or more high-risk settings where youth are drinking. Depending on community attitudes and norms, this may not be enough data to convince decision makers to act.

"On the ground" data can force action. This data speaks to the consequences (see Table 4), and is the hardest information to gather. It relies on anecdotal reports from people at the high-risk setting. The "on the ground" data can dispel the notion "kids are just being kids," or "I drank at parties, and nothing happened to me." Here, we want to know what bad things happen to people who drink in these settings.

Examples include:

TABLE 4. “ON THE GROUND” LEVEL DATA FOR UNDERAGE DRINKIN

· Youth focus groups or listening sessions **· Calls for service data** **· Key informant interviews with local law enforcement representatives** **· Key informant interviews with EMS personnel** **· Key informant information from parents**	· Youth focus groups or listening sessions · Calls for service data · Key informant interviews with local law enforcement representatives · Surveys · Calls for service data

Consequences can be fights, nuisance behaviors, sexual assaults and other forms of violence, and public intoxication. Data on consequences are needed to convince community members and decision makers the **community settings of interest require attention**.

The good news is much of the required data is available for local coalitions. 1000-foot and “on the ground” data can be collected in the same focus group or listening session, saving time. The policy provisions needed to address the problem are identified, then data for the foundation for the policy is collected, followed in some cases by modification of the policy language.

It is important to remember the data discussed here, especially the 1000-foot and “on the ground” data, are used to establish the basis for selecting specific policy responses and the specific policy conditions that increase the likelihood the intervention will be successful.

See Appendix C for an activity to help guide this step.

STEP 4

Develop an Issue Brief to Make the Case

Making the case for a policy is an essential part of building community support that is sometimes forgotten by advocates. Engaging the coalition in the process of deciding the policy argument energizes members to organize for its support. Communicating the problem so the community truly understands why change is needed can lower their resistance and increase your success rate.

An issue brief is a powerful vehicle for educating decision makers and the broader community about the policy solution. It is a one to two-page document that explains the issue to a member of the community. It helps the coalition make its case about the nature of the problem and the policy solution. See Appendix D for an Issue Brief example.

Issue briefs are strongest when they:

- Are written a way you would explain the topic to a neighbor or friend
- Tell a story about why the element is needed. Can be used in a variety of situations
- Identify the problem to be addressed from an environmental perspective use data
- Link health and safety consequences
- Include a section on the environmental approach
- Describe the coalition or organization and position it as the appropriate vehicle to address the issue
- Lay out the policy solution
- Describe the risks or harms if the policy is not adopted
- Discuss the evidence behind the solution
    a. Formal evaluation data
    b. Other communities successful experience with the policy
- Include a strong, clear call to action

These elements enable the coalition to frame the issue and solution for the most community support. See Appendix E for a description of the elements. The issue brief is only one part of the larger strategy to change policy. The issue brief begins the process of telling the story of the problem and the policy solution from the coalition's view.

The document should serve as the foundation for the media advocacy described in Step 6. The issue brief puts decision makers, community members and the coalition on the same page. It helps coalition members stay on message and talk about the policy with the same voice. To mobilize support for the policy, it is important to have everyone singing the same song.

The Issue Brief

The 2-4 page issue brief begins the process of *telling the story* about both the problem and the policy solution.

While there is no "right" number of pages for an issue brief, generally issue briefs are two to four pages long.

STEP 5

Draft the Policy Language

Now it is time for all the good ideas and supportive data to be included into a draft policy. It should be worded to address local conditions and evidence-based solutions.

The coalition is in the best position to write the policy. A subcommittee or coalition staff can put together a first draft for a full group review.

It is important the full coalition support the draft policy. See Appendix F for information to help craft the policy language.

While it may feel a little daunting to draft a policy, the process is not as hard as it might seem. There are some tried and true tips a coalition can use to make the work manageable:

- **Research similar policy examples from other communities**
  It is likely other communities have worked on issues similar to those you are addressing. A Google search can show similar policies elsewhere. While it is not a good idea to adopt a policy from another community verbatim, they can serve as templates for your policy language.
- **Compile supporting documentation**
  Someone will undoubtedly question whether the proposed policy is the correct response and if it can be legally implemented. This is particularly true where the state laws constrain, or even preempt, the kinds of ATOD policies that can be adopted by local communities (see Preemption for more information). As a result, it is important to do homework to see if the proposed policy is feasible at the local city or county level. An attorney does not have to do this kind of work, but it could be an excellent role for a lawyer serving as a member of the coalition.
- **Clarify the legal basis for the policy**
  Local policies from other states may have different legal underpinnings. Each state has its set of unique laws that dictate the authority communities must adopt their own policies. In many cases, state law supersedes (or “preempts”) local authority which could prevent communities from adopting certain policies (see Preemption). There are limits of local authority when working on local policy. Be cautious—city or county attorneys often have little expertise in this legal arena when it comes to ATOD policies. Cities and counties often defer to the state to handle ATOD laws and policies. Unfortunately, this approach often contributes to the very problems that coalitions are trying to address.

In the case of organizational policies, there is not a concern of state preemption. The coalition's policy can often be reviewed by the legal entity representing the governing body adopting the policy.

Some coalitions decide writing a policy is beyond their capacity. In this case, develop an outline of key components. This will help ensure the document reflects what the coalition wants and best practices. Someone else (e.g., the city attorney, local law enforcement agency, other local organization) would ensure the policy language is more complete. Work with a local municipal attorney after a draft is established to put the policy into a format consistent with the city's local code (see American Medical Association's "Policy Briefing Paper: The Perils of Preemption" by Jim Mosher, JD, www.alcoholpolicymd.com/pdf/Policy_Perils.pdf).

In the end, it is the coalition's responsibility to develop a policy that will best address the problem while considering the local conditions of the specific community. The coalition sets the standard for what should be included by writing its own policy. Individuals or organizations who oppose the policy must then argue why specific components should be removed to the coalition attenpting to receive the key components.

One Caution

One caution—city or county attorneys often have little expertise in this legal arena when it comes to ATOD policies.

STEP 6

Utilize Media Advocacy to Build Support for Policy

Media advocacy is a powerful tool to move the coalition's policy agenda forward. Media advocacy influences decision makers and community members, with the goal of advancing the policy proposed by the coalition.

Coalitions use media to publicize their events or inform others about a problem related to ATOD. Media advocacy is used to spotlight the coalition's issue, solutions and includes a specific "ask" for action. This kind of community education is a critical element of policy work but is only a piece of a larger strategy using media as an agent of change.

A media advocacy campaign should always include the following:

- Setting the agenda/getting media attention
- Framing or shaping the debate
- Advancing specific solutions or policies

To achieve these objectives, a media advocacy plan (see Appendix G) should include these steps:

1. Define goals and objectives
2. Identify and target your audience
3. Develop your message
4. Develop story ideas
5. Define action steps

Each of these steps is briefly described below.

DEFINE GOALS AND OBJECTIVES

The overarching goal of your policy campaign is the adoption of the policy goal(s) your coalition has selected. The objectives break out specific milestones. For example, in the case of the social host ordinance discussed in Step 1, the overall goal is to ensure the policy is passed by the city council. The objectives may include such things as generating a certain number of local stories in the press, producing letters to the editor, sending emails to specific segments of the community, a certain number of hits on a Facebook page, etc. All the goals and objectives should add up to a successful campaign with the best chance of pressuring decision makers to adopt the policy.

IDENTIFY THE TARGET AUDIENCE

Identify people or groups who need to be reached to create pressure on the decision makers. This could be community members, youth, a Chamber of Commerce, etc. Brainstorm the role of important groups, how they may support or be a voice for the policy, and how you can best reach them. How can advocacy messages be framed to these audiences in a way that will build support for the policy?

DEVELOP THE MESSAGE

Fortunately, if the coalition has developed an issue brief in step 4, most of this work is already done. The issue brief does the "heavy lifting" by providing detail on the problem and framing it using an environmental perspective. It provides the policy response, the justification for it and a call to action.

It is important to keep the messages simple. Do not have more than three or four messages for the coalition to discuss over the life of the campaign. This way, all coalition members can essentially say the same things when speaking in support of the policy, providing consistency (see box on next page for examples of talking points to support policy work). These talking points should already be in the issue brief but may need revisiting or sharpening as the work proceeds.

DEVELOP STORY IDEAS

The coalition should play a major role in developing the story. How the story is told will influence the likelihood people respond to the call for action. Maybe the coalition wants to really dig into a local home party involving underage drinking that resulted in a serious consequence. Or, a rash of prescription drug overdoses have recently occurred among high school student athletes, and a Facebook post of a local party where an overdose occurred has captured the attention of the community. The story is an essential part of the media advocacy campaign.

The Story Should Be…

TIMELY, RELEVANT, UNUSUAL, UNEXPECTED, HIT CLOSE TO HOME

DEFINE ACTION STEPS

A media advocacy campaign is vital and needs many voices. Everyone in the coalition has a role to play. The action plan is the "who will do what, by when" part of the process (see Sample Media Action items). While most coalition leaders are familiar with creating an action plan, there are a few key considerations specific to a media advocacy action plan. At a minimum media advocacy action steps should include:

- Generating a calendar of opportunities with steps to capitalize on each
- Building a media list with contact information
- Creating a list of key media contacts and establishing who will reach out and build relationships with them
- Building a tracking system for monitoring the various media pieces on your issue
- Identifying relevant editorial boards and who will meet with them
- Generating letters to the editor or communications using other media sources, such as blog postings

Media advocacy is an important part of any policy campaign and deserves ample time and resources to make it happen.

As a final note, coalitions often require assistance developing and implementing a media advocacy campaign because it requires unique skills. Providing coalition members with media advocacy training may be a good use of resources.

STEP 7

Organize and Mobilize for Support

This step, which happens along with Step 6, involves community organizing and mobilization aimed at achieving two key objectives:

- Building a grassroots base of support for the proposed policy. (Think of this as building “bottom up” support).
- Influencing key decision makers to support the policy. (Think of this as building “top down” support.)

To understand how to identify and map spheres of influence, visit Appendix H.

BUILDING THE GRASSROOTS BASE

A community mobilizing effort is at the core of successful policy campaigns. Decision makers need to know the public supports the policy. New policies can come with controversy and opposition. A broad base of public support is essential to convince policy makers they should adopt the policy and maintain their support as opponents exert their influence. This is building power.

Building power is not a new concept to implementing environmental strategies, especially policy work. ***Many coalitions fail to spend the time necessary to build a strong, representative base.*** If one-on-one interviews were done in the assessment process, another interview of supporters could show where they may be used in the campaign. People who become part of the grassroots base may engage in media advocacy by writing letters to the editor (LTE) or as media spokespersons (once properly trained).

Others will agree to come to a meeting where the policy is discussed by decision makers or sign a petition in support of the policy. The goal of this part of the campaign is to bring as supporters as possible and find ways for them to publicly express their support. See Appendix J for more details and tips on conducting relational one-on-one conversations.

INFLUENCING KEY DECISION MAKERS

This is the "top down" part of the community mobilizing strategy. Simply put, the coalition is trying to influence decision makers to support the policy by recruiting people they respect. This may be a multi-step process. For example, for a loud and unruly party ordinance, coalition members may need to get the city manager or city attorney on board before approaching council members. Similarly, a coalition that is working to have the school district adopt a new policy on suspensions related to ATOD use, understanding who influences the school superintendent is essential. Central to this process is understanding how decisions are made in the organizations or groups that the coalition is trying to influence.

An important tool for understanding the policy decision-making process is **power analysis** (See Appendix I). A power analysis identifies who should be approached, and who can approach the key individual.

The combined strategy of building a grassroots base of support, strategic pressure on key decision makers, and powerful media advocacy can move a decision-making body from opposing to supporting the policy. A mobilizing effort might take three to six months. This timeline can be significantly shorter if the policy is broadly supported. It can also be shortened if the relationships developed during early one-on-one interviews have been kept current. Building a committed community is an on-going effort that starts when the policy goal has been identified by the coalition in Step 1. In almost every policy campaign, there comes a time when the supporters need to be rallied into action.

Build Power.

A broad base of public support is essential to convince policy makers they should adopt the policy and maintain their support as opponents exert their influence. This is building power.

STEP 8

Prepare and Present Your Policy to Decision Makers

Generally, the proposed policy needs to come in front of the decision makers in a public setting for adoption. Policy adoption requires deliberation and usually more than one person to make it happen. There is typically a hearing or discussion where the decision is made. The coalition must be an active part of any hearing or public discussion on its proposed policy.

Being part of a hearing is more than showing up with a few supporters. Many policies have failed at a hearing when no one from the community showed up to speak in support of it. The lack of a visible presence creates a vacuum opponents can exploit with counter pressure on decision makers, making it difficult for them to vote in favor of the coalition's policy.

After months of media advocacy, community mobilizing, one-on-one meetings with key decision makers and what may seem like endless coalition meetings, the hearing is your chance to pull it all together.

The following is a list of activities for a successful hearing:

- ***Be sure to know how each decision maker plans to vote on the policy.*** If there are signs of a majority vote in opposition to the policy, it may make sense to pull it off the agenda and continue building support. There may be times when the policy is clearly headed for defeat and the coalition makes a strategic decision to let it sink, but these times are rare. It is more likely the hearing is when the policy is adopted.
- ***Determine who will speak on behalf of the policy.*** Pick a person who has significant credibility to the decision makers. This depends on your policy. In the case of a social host ordinance, it may be a youth or school administrator leading the presentation. For a local policy to restrict vape shops, it may be another respected community merchant. Understand the time limits for comments. If more time is needed than what is allotted to your speaker, consider the public comment period to make other points. Also, think if it is better to go before or after the opposition has spoken. This could be a chance to rebut arguments opponents have made.

- ***Thoroughly plan the presentation.*** Decide who is saying what and script it out. Make only the points necessary to sway votes, and do not over talk. Don't rely on just facts; tell stories of the conditions the policy is addressing. Sometimes too many speakers irritate decision makers, and it is better to have one or two make the case and ask for support. A good idea is to ask supporters in the audience to quietly stand up. One hundred people standing can be an impressive sight suggesting deep support and a strong base of power, without taking up too much time.
- ***Determine if the entity to enforce the policy will speak in favor.*** If the police department is the enforcement agency, its testimony in support can be a difference maker. If the policy requires a school board decision, have a local school administrator speak to their confidence that the policy is enforceable. If the key people/ agencies responsible for enforcement have been involved with you from the early days of the campaign (see policy Step 2), they may be willing to publicly advocate on behalf of the policy.
- ***Pack the room with supporters.*** Generally, there is no such thing as too many people in showing up in support. This is where the community mobilizing in Step 7 pays off. All the people the coalition sought support from should be encouraged to attend the meeting to show the depth of the community support. This reinforces the "yes" votes and can move those "undecided" to the yes category. Sometimes a "no" will move to a "yes" if the crowd is large, but this an exception. Having 100 supporters in the room doesn't mean they all speak in support. There are some instances when your decision maker champion may advise you that packing the room may work against the passage of the ordinance. Consider this advice cautiously before scaling back the attendance.
- ***Be respectful of all the people in attendance, especially the opposition.*** Taking the "high ground" as an advocate for your policy is a powerful position and sets up the coalition for future policy efforts.
- ***It is a good idea to do a "dry run" of the hearing with your coalition before the real thing.*** Identify people to play the decision makers and structure the hearing as realistically as possible. Have all your speakers and some supporters in the audience. Be sure the decision makers have questions and comments thought out ahead of time. Have them ask hard questions and use the experience to sharpen your presentation. This is a very fun process that builds confidence and commitment to the policy.

Following these steps does not guarantee a policy "win" but does increase the likelihood your coalition can get there. It strengthens the group's power next time it campaigns for a new policy. See Appendix K – **Understanding your municipal process** for more information and an activity.

STEP 9

Support Policy Implementation & Compliance

An unenforced policy has little value to the community. A recently adopted policy may have some impact because of media coverage, but without enforcement, any benefits are likely to be short lived.

Work does not stop after the policy is adopted. The policy campaign and getting a policy adopted are about 50% of the coalition's effort. The other 50% is the work of coalition and the compliance agency implementing and enforcing the policy. If the coalition has been working with the compliance agency from the beginning of the campaign, there is a greater likelihood of implementation. While actual enforcement begins when the policy is adopted, a forward-looking coalition will have already been discussing the enforcement challenges early in the policy campaign.

The coalition can decrease the time lag between adoption and enforcement by doing the following:

- ***Prior to policy adoption, engage the compliance agency in a discussion with the coalition about what is needed to make enforcement happen.*** What challenges exist, and what are some possible remedies? How can the coalition help? This is an important step demonstrating the coalition is in for the long haul and signals a willingness to help. It also suggests enforcement is a coalition priority the group will monitor. There is nothing wrong with shared accountability between partners if it is explicit and done with shared commitment and responsibilities. Some of this discussion may have occurred as part of Step 2. If not, be sure to initiate these discussions early and often.
- ***Set up a system to talk about enforcement challenges with the coalition.*** This could mean a standing report on the coalition meeting agenda, or it could take place in a subcommittee. It can take months to build the enforcement process for a policy. Sometimes, what may seem like a lack of enforcement may be the group responsible for enforcement simply working out the details of the process. The goal is to keep communication open about policy implementation and enforcement.

- ***Engage in regular meetings with the compliance agency.*** A subgroup of the coalition should be meeting regularly with the entity with primary enforcement responsibilities. This serves three purposes 1) it keeps the compliance agency clear this issue is a high priority for the coalition, 2) it enables communication of any problems related to enforcement with the coalition, and 3) it enables the coalition to discuss activities it can engage in to publicly support the compliance agency.

- ***Publicize enforcement efforts using coalition media contacts.*** The more the community knows about the policy, the better the chances of compliance. Use traditional media to highlight stories emerging from the enforcement efforts and social media to let the community know the policy works. This reinforces the normative shifts accompanying policy adoption and makes enforcement a community issue. The coalition provides public support for the compliance agency this way.

- ***Expect the compliance entity may need to have internal training of its personnel.*** New policies require new procedures to ensure appropriate implementation, frequently called Standard Operating Procedures (SOP's). For example, a law enforcement agency must train its officers when implementing new procedures for loud and unruly parties. City or county code enforcement and planning staff may need training in how to interpret local land use provisions designed

Approximately 50% of the coalition's work is getting the policy adopted. The other 50% is the work of coalition and the compliance agency doing their respective jobs towards implementation and enforcement.

STEP 10

Evaluate Effectiveness

Win or lose, it is important to evaluate how well the policy campaign was carried out, and if the policy is changing community conditions and behaviors. A **process evaluation** documents steps you taken to implement the policy and helps identify when went well and could be improved.

Certainly, part of the evaluation process is to celebrate the work of the group. It is easier to celebrate a victory than a loss, but both require honoring the coalition and community members who participated in the work. Otherwise, people will be less likely to engage with the coalition next time around. For a guided activity on evaluation, see Appendix M.

There are a few key areas to pay attention to during the evaluation:

- Did the policy pass? If not, what happened? What could the group have done differently? What are the lessons for the next policy campaign? What new groups or partners collaborated with the coalition? How can you keep them engaged?
- Has the coalition established itself as the “go to” group for implementing environmental strategies to address ATOD problems? If not, what needs to happen to make it so?
- Is the coalition united after the campaign? Are people energized? Did the coalition develop a new sense of its own capacity to be as an agent for change? How can we strengthen the coalition? Should some members be asked to leave the group?
- Are community members talking about the policy or solving the problem in a different way? Was media advocacy robust and effective? Are community members shifting norms and tolerances? Has the soil been prepared for more attention to the problem?
- Finally, as noted in Policy Step 9, how will you know if the policy is working? What data were used to convince decision makers the problem was real and required a policy solution? Can you access another round of this data to begin to track changes in rates of the problem the policy addresses?

The important point here is to demonstrate the policy likely contributed to positive changes (since there may have been other things going on that could have influenced the changes).

There are other facets of a post-policy campaign evaluation. These are simply a starting point. This kind of evaluation is essential to the short-term and long-term strength and success of the coalition.

Summary

“Policy” is an umbrella term that includes everything from federal legislation to the decision a parent makes to lock medicines in their home. Though the best practices of the “Big P” should always be present in your work, the “Small P” local policies may be more actionable in your community. Organizational policy changes to consider:

- Where, how, when and if community events include alcohol tobacco or other substances.
- Strategies to get all adults to secure and monitor their alcohol, tobacco and prescription medications.
- Work with retailers to establish mandatory policies to check identification and seller training.

These are just a few examples — the point being a focus on “policy change” should be comprehensive and not limited to large legislative or municipal code changes (i.e. “Big P” policies). Supporting existing policies can be just as effective as advocating for best practice policy changes. It is important to know how to use each of these tools for achieving positive community change.

For technical assistance or additional guidance on a prevention policy campaign, contact your regional Prevention Technology Transfer Center at pttcnetwork.org.

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Quick Reference Guide: Steps 1-5

WHAT	**STEP 1:** Draft Policy Action Statement	**STEP 2:** Build compliance	**STEP 3:** Collect data	**STEP 4:** Develop Issue Brief	**STEP 5:** Draft policy language
WHY	Ensure the coalition is on the same page and understand the what, why and who associated with the policy	Engage the appropriate compliance body early and often is essential – build relationship, collect data and generate support for the proposed policy	Collect the right data to show a direct relationship between the problem and the policy solution	Educate decision makers and build community support for policy	Create an enforceable best-practice policy to reduce ATOD related problems
HOW	Draft a <30 word policy action statement	Meet with compliance entity, discuss problem/ policy solution and identify the individual who could best represent their organization in your work	Collect data from 3-tiers: 5000' prevalence, 1000' setting, and on the ground consequence data	Summarizes the data from steps 1, 2 and 3, describes the coalition, makes the case for the policy solution and includes a call to action to support policy	Research & review similar policies from other places, link to local data, clarify feasibility, work with municipal attorney and champion to write policy language
WHO MAINLY DOES THIS	The coalition leading the policy campaign	Key coalition members + compliance entity rep	Coalition	Coalition + data + graphics person	Coalition + legal advisor + municipal attorney
ONE PITFALL	Getting stuck in finessing the policy action statement	Reaching out to compliance entity too late in the policy campaign	Failing to establish the high-risk setting where the problem is occurring	Writing the issue brief as an educational vs an advocacy document	Letting the attorney take over the writing of the policy

Quick Reference Guide: Steps 6-10

WHAT	**STEP 6:** **Use media advocacy**	**STEP 7:** **Organize and mobilize support**	**STEP 8:** **Prepare and present policy for adoption**	**STEP 9:** **Support implementation & compliance**	**STEP 10:** **Evaluate effectiveness**
WHY	Build awareness, influence attitudes, generate support and influence decision makers to support adoption	Build awareness, influence attitudes, generate support and influence decision makers to support adoption	Formally present policy to decision makers so that they may vote on it	A policy that is not implemented or compliance is not promoted does not produce the promised outcomes	Evaluate how well the policy campaign was carried out and determine if the policy is making impacts
HOW	Utilize mass media, earned media and social media to build support	Engage grasstops, grassroots and council champion to build support, focus is on developing relationships with community members to build support for policy	Coalition plan, recruit speakers, practice, and present	Talk with city officials, set up plan for initiating the compliance process, monitoring and reporting on ongoing enforcement efforts	Process evaluation: How well did campaign work Impact evaluation Outcome evaluation: Are rates of problems decreasing
WHO MAINLY DOES THIS	Coalition + communication specialist + media contacts	Coalition + influential grasstops + grassroots	Coalition + key grasstops + enforcement entity	Coalition + compliance entity	Coalition
ONE PITFALL	Not allowing sufficient time to develop and implement a media advocacy plan	Going it alone – not building support among community members	Promoting policy without knowing you have the votes to pass the policy	Thinking compliance will just happen without intentional planning	Forget to capture baseline measures early in the policy campaign process

Southeast (HHS Region 4)

PTTC

Prevention Technology Transfer Center Network

Funded by Substance Abuse and Mental Health Services Administration

Appendix Section

APPENDIX A.
Policy Step 1: Drafting a Policy Action Statement

What policy are you working on or considering? ____

A Policy Action statement:

✓ Clarifies the overall scope of the policy advocacy effort

✓ Enables all partners to agree on the problem and proposed policy solution

✓ Used to educate other collaborative and community members

Who is your target (the one with the power)?

What is the problem?

What is the solution?

What are the impacts – what will solution reduce or limit?

What or who benefits?

> Example: *City Council will pass a Social Host Ordinance holding accountable those who host a gathering where alcohol is consumed by minors, reducing negative consequences teens experience such as impaired driving and violence.*

You try: The ____

will ____

to address ____

____ which will reduce/limit

____

____ so that

____.

Or write out something original here:

APPENDIX B.
Policy Step 2: Building Connections for Compliance/Enforcement

The goal of this step is to form, or deepen a relationship with the compliance agency and explore mutual interests. This connection also provides an opportunity to educate the agency about the issue and policy you are working on.

Questions to consider when building out this part of the policy plan:

1. Who is the compliance agency/compliance community for the proposed policy solution? ____________________

____

2. Does the compliance agency have the information, tools and resources they need to do the job appropriately? How might your coalition support them? ____________________

____

3. What does this compliance agency have to offer?
   - ☐ They can provide local data (describe)
   - ☐ Assist with the selection of policy responses (describe)
   - ☐ Assist with drafting policy language (describe)

4. How does the compliance agency interact with the impacted community? ____________________

____

5. What challenges might you have in engaging with this compliance agency? ____________________

____

6. Who would be the best person or persons from your coalition/team to meet with them? ____________________

____

7. Make sure the compliance representative can make decisions (in a leadership role). How can the coalition ensure that the compliance representative is the “right” person? If this person is not the leader, do they have the ear of the person who can make things happen? Who is the person with the compliance agency who can make key decisions? ____________________

____

____

Appendix C.
Policy Step 3: Collect Data

Data establishes a link between the problem and the proposed policy solution.

Which data are you most comfortable collecting? Why?

Example of data you might collect *(this example is for a civil social host policy)*

DATA TIER	**DESCRIPTION OF DATA**	**WHERE TO GET** (examples)
Tier 1 – Prevalence of the problem	Ex. Past 30 day alcohol use rates	State-level surveillance data source
Tier 2 – High risk setting data	DUI arrest data that indicates where the impaired had their last drink	From enforcement agency
Tier 3 – 'On the ground' consequence data	Teen story of binge drinking by peers at a house party	Focus group with teens or key informant interview

Now you try with your chosen policy:

DATA TIER	**DESCRIPTION OF DATA**	**WHERE TO GET** (examples)
Tier 1 – Prevalence of the problem		
Tier 2 – High risk setting data		
Tier 3 – 'On the ground' consequence data		

A SAMPLE ISSUE BRIEF

The Anytown Social Host Ordinance

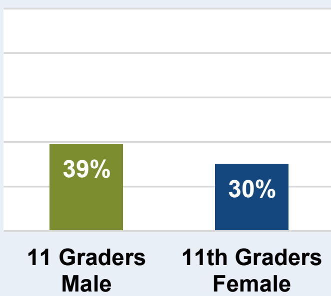
A Tool for Reducing Underage Drinking at Home Parties

Anytown Youth Substance Abuse Prevention Coalition

This briefing offers an update on some strategies for addressing both large and small teen parties where alcohol is being served

Winter, 2020
Volume 1, Issues 2

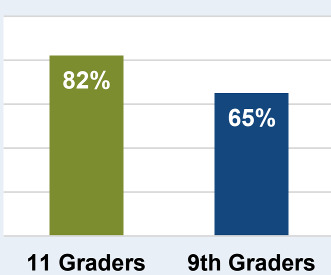
Anytown Teens Binge Drinking in the Last 30 Days



"The heavy drinking being reported by our teens may be one of the greatest dangers facing our youth. We are working together on ways to assist adults in becoming part of the solution to this problem as opposed to part of the problem."

Jane Dough
CEO, Anytown Hospital

Anytown Teens Reporting Alcohol "Fairly Easy" or "Very Easy to Obtain Alcohol



What's the Problem?

Alcohol is the most commonly used and abused substance among adolescents in the U.S. According to the Anytown Youth Substance Abuse Prevention Coalition, local teens are engaging in high-risk drinking more than other youth in the State.

Results of the 2019 Youth Risk Behavior Study show 39% of male and 30% of female 11th grade students in Anytown report binge drinking in the last 30 days, defined as five or more drinks for males or four or more drinks for females in two hours (see left).

Among ninth graders,17% of males and 20% of females report binge drinking in the last 30 days *(Anytown Youth Substance Abuse Prevention Coalition, Press Release of May, 2020).*

Reports of alcohol poisonings, traffic crashes, property damage, community disturbances, violence and sexual assault are too common as a result of underage drinking.

Average age of first full glass of alcohol—12 yrs. (SAMHSA)

Binge Drinking and Related Problems

The research on binge drinking and youth's ability to get alcohol is supported by recent reports of parents providing alcohol at end-of-the year parties (Anytown Focus Group Data Findings, 2019). Such parties can be problematic because of the large number of drinkers and the significant amount of alcohol individuals consume when binge drinking.

Teens experience a wide range of problems when they are involved with alcohol and binge drinking. Violence, including sexual assaults and fights, accidents, alcohol poisoning, and lowered school performance are a few of the issues directly connected to teen alcohol use.

In addition, due to changes in brain chemistry caused by alcohol, youth who drink before they turn age 15 are four times more likely to develop alcohol addiction than those who start drinking at 21, according to the NIH.

"A parent who provides alcohol to teens at a house party to keep them from driving is misinformed and misguided. This trades one problem for others that are equally serious."

Earle Fake - Anytown Parent

A Sample Issue Brief **Winter, 2020 |** Volume 1, Issues 2

Do Social Host Ordinances Work?

Yes. As a result of enforcement, Somewhere Police Department mostly gave citations for a first offense. Over time, there were fewer police calls for service to home parties.

The proposed Anytown Ordinance is designed to prevent parties where binge drinking is occurring by creating adult accountability without necessarily elevating the offense to the misdemeanor level which can carry a penalty of jail time.

The Ordinance proposed by the Anytown Youth Substance Abuse Prevention Coalition reflects current research recommendations from the Institute of Medicine (IOM) and National Research Council. The IOM report recommends a greater emphasis on restricting access to alcohol by strengthening laws and enacting ordinances that restrict youth access in home parties (National Academy of Sciences, 2004). A stronger ordinance for the Anytown community is a sound strategy based on current national trends.

Why Support This Policy

The office of Juvenile Justice and Delinquency Prevention. Mothers Against Destructive Decisions, Anytown Public Health, The Anytown Police Department and more, local health professional and a growing group of advocates in Anytown, USA.

Similar to the success of reducing smoking by limiting availability of tobacco and smoking in public places, the research on alcohol is clear: shifting norms and reducing access to alcohol impacts the rates of high-risk drinking in addition to related problems among youth and adults.

The Social Host Ordinance is a powerful policy approach that our community can embrace to reduce underage binge drinking and related problems.

What Resources Exist for My Involvement?

Anytown's County's Health Department has a three-year contract to support the County Mental Health Initiative. The Partnership is working to prevent and reduce problems related to high-risk drinking among youth and young adults.

Partnership members in Somewhere and Anytown University have formed two local community coalitions. Coalition members include neighborhood residents, local law enforcement, city planning departments, school districts, nonprofits, and other public and private organizations.

The Partnership is receiving technical assistance from the Anytown Health Department, a leader in the field of environmental prevention strategies and public policy interventions.

The Healthy Department provides technical assistance to the local coalition that has formed to address high-risk and binge drinking and related community problems in Anytown USA.

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Join the movement

Here is how you can take action:

1. Write a letter of support and/or email your City Council member to express support for the Social Host Ordinance;
2. Come to a Coalition meeting and get involved; and
3. Join us on Facebook and Twitter.

Southeast (HHS Region 4)
PTTC Prevention Technology Transfer Center Network
Funded by Substance Abuse and Mental Health Services Administration

APPENDIX E.
Policy Step 4: Key Elements of an Issue Brief & Activity

KEY ELEMENTS OF AN ISSUE BRIEF

Overall Tips

- Write in clear, jargon-free language so the topic would be clear to a neighbor or friend
- Tell a story about why the policy is needed
- Develop it for a variety of situations such as community events, public comment, and more
- Include quotes from known individuals in the community
- Make it interesting – mix up content with narrative with strong quotes, graphs & photos
- Anticipate oppositional arguments and proactively respond to them in a positive manner

Framing the brief

- Frame the issue brief to your audience and incorporate their experiences, goals and values
- You are educating and persuading decision makers and members of community
- You have to know their interests in order to frame content appropriately

Identify and define the problem

- Identify & define the issue from an environmental perspective (not an individual one)
- Use data from needs and resource assessment
- Seek a balance of qualitative and quantitative data
- Define the problem in the context of how the community experiences it

Promote the Coalition

- Include a section that describes your coalition as a representative of the broader community
- Position the coalition as the vehicle to address the defined issue

Lay out policy solution

- Describe how the policy addresses the issues as defined in the brief (broadly and link to environmental approach)
- Discuss how policy solutions are different and distinct from individual focused solutions
- Discuss the evidence behind the solution, if no formal evaluations – discuss other communities' success with the policy
- Explain the risks and consequences to the community and individuals if the policy is not adopted

Include an "ask"

- Let the reader know how they can become actively involved in the campaign
- List who to contact for more info, how to get involved, and where to follow on social media
- Encourage them to voice their support with decision makers (email, phone, show up)
- Activities may include writing a letter to the editor, participating in public comment, showing up at formal meetings, and more

Answer these important guiding questions as you prepare for an issue brief.

DESCRIPTION OF THE WORK	RESPONSE
Who on the coalition is going to do the work of developing an issue brief? Who is skilled in layout & design, writing, etc.?	
What is a catchy title for your issue brief? Include a few examples.	
What are the 3 main points for the issue brief to make?	
List 3 community members/leaders from whom you would like a quote.	
List 1 'ask' for the reader to get involved, show support, etc.	

APPENDIX F.
Policy Step 5: Crafting the policy language

Drafting Policy Language

1. Know what you want

2. Maintain control of the ordinance development

3. Collaborate with compliance agency as language is being developed

4. Include the items you are willing to drop AND know your deal breakers

5. Be prepared to walk away if it morphs into a BAD policy

COMMON ORDINANCE STRUCTURE

- Whereas or findings
- Intent
- Definitions
- Provisions/prohibited acts
- Enforcement
- Penalties
- Appeals & hearings
- Severability

KEY CONSIDERATIONS

Here are some key points to consider when developing the policy or policy language:

- How has the enforcement/compliance agency/entity been engaged in the writing of the policy? ______________________________

____

- Identify and work with your "champion" (from the decision makers) to ensure your policy is crafted in a way it can be voted on and includes your key provisions. Do you have a champion, if so who is it? ______________

____

- How might preemption affect your policy? ______________________________

- If not comfortable drafting policy language, develop a list of key criteria in outline form that should be included in the policy. This can ensure that whoever drafts the actual policy incorporates your key provisions. That said, do not give away control over the process. Work closely with the policy drafter. What are some elements of your policy what are "must haves?" Are there some elements of your policy your group would be willing to negotiate away? If so, what are they? ______________________________

____

- Does your group "own" the policy? What is your CONTINGENCY PLAN in the event that the final policy does NOT reflect the elements you determined are essential? Meaning, someone wrote the final policy who is not connected to your group and substantially changed the policy. What will you do? ______________

____

____

Your group must develop contingency plans. How will you know if your group will go forward to support the policy if it falls short of your expectation? Research other similar policies to assist in the development of your own. Consider neighboring communities or states.

APPENDIX G.
Policy Step 6: Media Advocacy

Below are some activities to get you started on a media advocacy plan. The activity does not develop a comprehensive media advocacy plan but does get you started on key elements.

1. Write down your policy goal? (This is your policy action statement) ______________________________
____
____

2. Based on your policy goal, who will you target with media, so that they not only care, but are moved to act in a way that helps sway decision makers? What channels will you use to reach them? Place your responses in the table below (Table 1).

TABLE 1 DETERMINING TARGETS & CHANNELS

List 2-3 media targets (e.g. parents, superintendent, etc. or organizations) who could be influenced by media to create pressure on the decision makers for your campaign and the best media channel with which to reach and influence that target.

Who will you target with media, so that they not only care, but are moved to act in a way that helps sway decision makers?	**What channels will you use to reach them? (ex. Facebook, Twitter, newspaper, OpEd, PSA, press release, etc.)**

Now that you know WHO you need to reach with your media advocacy AND the type of media to use, look at your Issue Brief. Pull out 3-4 key messages that you believe would move your media targets to action.

3. Write down 3-4 key messages from the issue brief

Message:____

____

Message:____

____

Message:____

____

4. Tell a story. Your media advocacy (Op-eds, newspaper stories, Letters to the Editor, etc.) should tell a compelling story about this community problem that the policy would address. Your media advocacy should frame the policy as the solution to that problem. This will make it easier for a person to support the policy.

Provide two or three key points you would like your story to tell that would lead people to support your policy:

1. ____

2. ____

3. ____

5. Share these points with a colleague or friend. Ask them to rate how compelling your points were in terms of building support for your policy. On a scale of 1-5 (1= not compelling, 5=very compelling) how well did your points score? ____

The media advocacy action plan **(TABLE 2** next page**)** is the centerpiece of your media advocacy work. This will be the tool to guide the activities in the context of your overall campaign objective. Without a planning tool that, media objectives and their activities could become disconnected and not supporting your policy campaign. You can incorporate information from Table 1 (targets and channels) below. Make sure there is strategic alignment between your activity, audience, channel and message. In the end, all objectives and their activities should promote the policy goal.

Define 1 key media objective and 1-2 activities that will support that objective. Align one of your target audiences and media channels with the activity. Add the key message for that audience and WHO is responsible for making it happen.

TABLE 2 MEDIA ADVOCACY PLAN

Media Objective **[insert 1 SMART objective]** Example: *By March, increase presence on all media channels by 50% to reach adults who live within city limits.*

Activities to meet that objective *(see examples in the chart below)*	**Target Audience** *(pulled from above)*	**Media Channel**	**Key Messages**	**Who is responsible and when it will happen**
Draft and post weekly social media posts	*Adults*	*Twitter, Facebook, Instagram*	*[put key messages here from issue brief]*	*Kyle, weekly starting Feb 8*
Draft Letters to the Editor				
Draft & publish at least 2 Op Ed's				

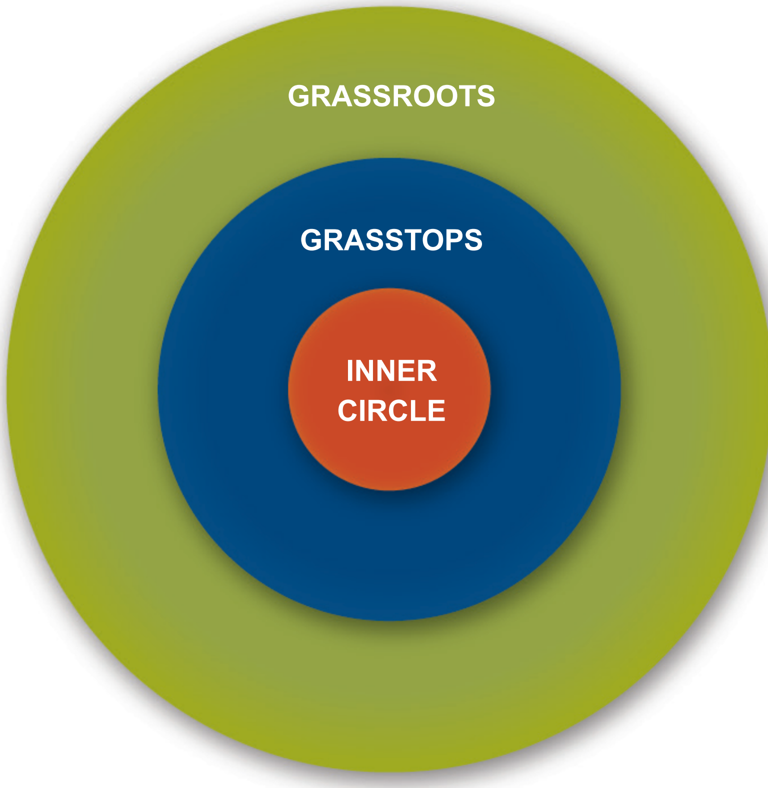
For more examples of activities, see the table below. This also offers another way to format your plan.

SAMPLE MEDIA ADVOCACY ACTION ITEMS

		Month it takes place								
Activities	**Who**	**1**	**2**	**3**	**4**	**5**	**6**	**7**	**8**	**9**
Post 4 calls to action on campaign website										
Coalition media team selects 3 key messages from issue brief										
Record podcast with chief of police and Sunnyside neighborhood President										
Post daily on Twitter. Drive to campaign website.										
3 Letters to the Editor, each with a different frame of support for the policy.										
Decide who will write and contact.										
Follow-up on media contact. Cultivate relationship with reporter Ex: *S. Smith*										
Decide when letters to editor will drop and in what paper.										

APPENDIX H.
Policy Step 7: Community Organizing - Identifying and Mapping Your Spheres of Influence

LEVELS OF COMMUNITY ENGAGEMENT IN POLICYMAKING



INNER CIRCLE: Key coalition worker bees (those who do it all)

Common Characteristics

- 5-10 people
- Committed
- Available

Tasks:

- Issue brief drafting
- Policy drafting
- Power analysis
- Media writing
- Speaking to community groups
- Speaking at council

GRASSTOPS (2nd circle):

Common Characteristics

- Influencers
- Moderately available
- Committed but spread thin
- People who have the ear of decision makers
- Well regarded in community
- Often referred by inner circle

Tasks:

- Will put their name on a Letter to the Editor (LTE)
- Meet with decision makers
- Will speak at council
- Will publicly endorse

GRASSROOTS (3rd circle):

Common Characteristics

- Often referred by circle 1 or 2
- Work/volunteer on related issues
- On your list serve
- Find them at meetings you attend/speak at

Tasks:

- Often organizational in nature, e.g. organization X can get 10 people to the hearing Monday night
- Show up when you need numbers
- Wear buttons, bring signs to hearings

INNER CIRCLE LIST List the 5-10 people in your inner circle and their tasks. These are your committed worker bees. Where do you have gaps and how will you fill those? *(Sample table)*

Tasks	Policy Step #	Person(s) assigned the task	Gaps if any	How will you fill gaps?
Write/collect Letters to the Editor	6			
Develop media bites from variety of angles	6			
Speak with key influencers in town about policy	7			
Schedule/speak to community groups	7			
Conduct one-on-ones	7			
Prepare to speak at council	8			
x				
x				

Notes Inner Circle:

GRASSTOPS

2nd Circle

People you have right now	Tasks	Who do they know?
Beth Smith	*e.g. will talk to Councilman Adams*	*Knows (2) council members pretty well (1 professionally, one personally)*

Notes Inner Circle:

GRASSROOTS
3nd Circle

Try to list 100+ individuals/organizations who might volunteer, show up for the vote, etc. (this is just an example of a table to get you started in listing out potential grassroots players).

People/Organizations	How will you identify & communication with them?

APPENDIX I.
Policy Step 7: Community Organizing - Power Analysis of Decision Makers

Example.

List of decision makers	List their assumed support level for the policy	What is their self-interest, what do they value? (ex. Health, youth, business, freedon, etc.)	How do you influence them if they are elected (tactics)?	What Grasstops person might influence them?	Who will approach this individual?
Carol Blue, Mayor, term limited Nov 24	☐ For ☐ Against ☐ Unsure	Business, land use, safety			
Liz Lemon, Ward 3, term limited Nov 24	☐ For ☐ Against ☐ Unsure	Ped nurse, studying, Consitiution and civil rights	Leave legacy to protect youth/ young adults	Coroner, hospital CEO	
Flo Rida, Ward 3	☐ For ☐ Against ☐ Unsure	Attorney, ‘country lawyer’, District Ct. Judge, community safety		Attorney, Police	
Neo Matrix, Ward 4	☐ For ☐ Against ☐ Unsure	Preserve & grow open space, QOL and sustainability, beekeeping			

Use this version of the Power Analysis for practice.

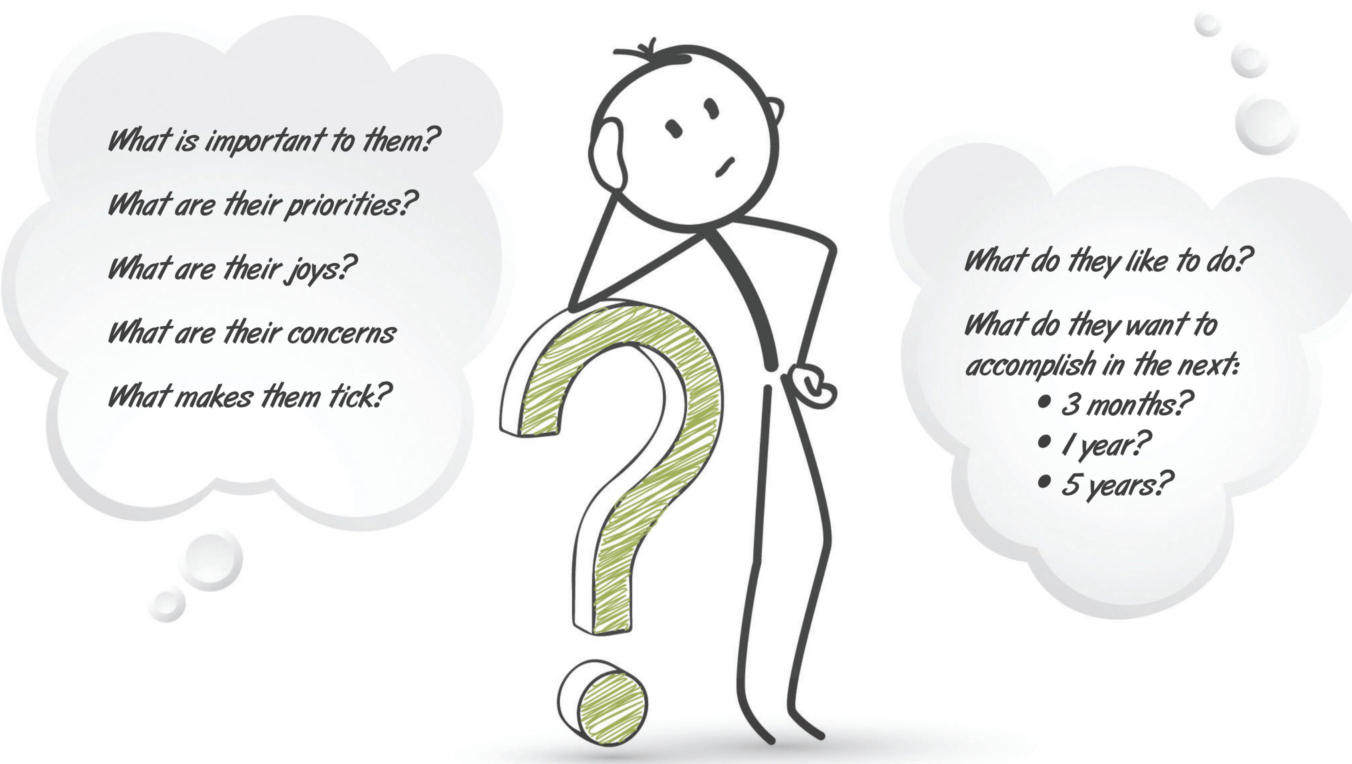
List of decision makers	List their assumed support level for the policy	What is their self-interest, what do they value? (ex. Health, youth, business, freedon, etc.)	How do you influence them if they are elected (tactics)?	What Grasstops person might influence them?	Who will approach this individual?
	☐ For ☐ Against ☐ Unsure				
	☐ For ☐ Against ☐ Unsure				
	☐ Against ☐ Unsure ☐ Unsure				
	☐ For ☐ Against ☐ Unsure				
	☐ For ☐ Against ☐ Unsure				
	☐ For ☐ Against ☐ Unsure				
	☐ For ☐ Against ☐ Unsure				

APPENDIX J.
Policy Step 7: Community Organizing - Conducting Relational One-on-One Conversations

In relational one-on-one conversations with community members, you are letting them reflect and tell their story. This process is not transactional – it is relational. Active listening is key. This is an ongoing process of deepening your understanding of the community, determining concerns and interest connecting to your policy goal, and building on-going support for the policy. You want to find out what they care about, how they understand/experience problems, what they think can be done, and who has power in the community to get it done. Do not rush to an 'ask'. You may not get there in the first conversation.

THE STICK PERSON

Things you want to learn in your one-on-one, relational conversation



What did you learn about the person (during the one-on-one) that may further your work and support for the policy?

The purpose of a ONE-ON-ONE is not necessarily to recruit someone to be a leader or an organization member, but to begin a relationship with that person, to get to know him/her and to understand that individual's SELF-INTEREST. How their concerns match with the problem you are addressing and the potential policy solution. The goal is to build on-going support for your policy goal.

One-on-one interviews, while open-ended, have a structure. This may be modified based on the purpose of the interview. Review the structure of a one-on-one interview with group participants, using the following script as a guide:

The basic structure of an introductory one-on-one is broken into three parts:

1. **The introduction.** Let the person know why you are there; identify yourself as a member of a group or organization. "Hi. I'm _____ from (your coalition's name). We are an organization working through Organization _____ here in _____ to help reduce ______ (insert issue). I'm out talking to folks in our community who may be concerned about this issue. I'm only taking 15 to 20 minutes to learn about people's impressions of this issue as well as their concerns."

2. **The Conversation:**

So, how long have you lived here?

How well do you like the community?

Has the community changed much since you've lived here?

Where did you live before?

What brought you here?

The conversation should encourage respondents to speak as much as they can about themselves, their family, their concerns and their joys. Have respondents share stories—descriptions or anecdotes about what has happened to them and their families. In a one-on-one, you should use active listening skills.

You may want to share personal information about yourself to reciprocate information shared by the other person, or to stimulate the conversation. NOTE: if you are doing most of the talking, you are NOT doing a worthwhile one-on-one.

2. **Closing the one-on-one.** Your goal is to keep the relationship open. The next step does not have to be fixed or scheduled, but it should give a direction or expectation about the future. A common closing to a one-on-one goes something like this:

Thanks for talking with me. I am going to talk with lots of folks about this issue to hear their concerns.

Would you be interested in talking with us again as our work progresses?

I look forward to talking with you again in the near future.

Appendix K .
Policy Step 8: Preparing to Present

UNDERSTANDING YOUR MUNICIPAL PROCESS FOR A CITY COUNCIL PRESENTATION

As you get closer to a hearing or presenting the policy, you must know if the policy will pass or not. If you do not think you have the votes to pass, do not formally propose the policy. You still have work to do!

- ☐ We are confident we have the support of the decision-making body (keep going)
- ☐ We think we have support from the decision-making body (Nope. You want to be sure)
- ☐ We don't yet have a majority of support from the decision-making body (keep organizing)

The following information is specific to a city council process. You can amend the examples and processes to align with a county or organizational process.

The following questions regarding the city or town legislative process should be addressed by the coalition before the formal presentation. If your team does not have the answers, try asking the city clerk, an assistant city attorney, or an agency connected to the policy (police, code enforcement, school board, etc.).

Your City/Town____

- How will your draft policy be introduced to the city council? E.g. Introduced by a councilperson (your "champion"), by multiple council people, brought to city council by the coalition, by the compliance or enforcement agency, etc.? What are the possible options?

    - Is there a Commission or sub-committee of the city council who will have to hear the policy first? If yes, what is it… i.e. Planning Commission?

- How many formal council meetings will discuss the policy before a final vote to approve an ordinance?

- City council work/study sessions:
  - Does your council use work/study sessions?
  - If so, when are they scheduled?
  - Can you be present at the study/work session?
  - Who determines if your ordinance will go to a study/work session?
  - Who presents the issue to council?
  - Is the Study Work/Session mandatory, if not what strategic purpose does it potentially serve or hinder as you try to pass your ordinance?
    - Who prepares the staff report on your policy for council? (City Attorney, PD, etc.)

Things to know about the city council hearing:

- Who on council communicates the process by which the coalition's input will be heard?

    - Does the mayor pick a group first?

- Does council hear a legal review (ex/ from City Attorney's Office) prior to community input?

- How is public comment beyond the primary presentation initiated?

    - Is it before or after council discusses?

- Are there a set number of speakers for the public comment period?

    - How will young people play a role in your presentation?

    - How do you position your speaker to be the final speaker?

    - Can the coalition have rebuttal time or do you need to do it in the context of public testimony?

- Can a policy compliance representative speak on behalf of the ordinance?

    - ☐ If yes, does it have to be the Chief?

- Once an ordinance is passed, how long before it becomes law?

ACTIVITY IDEA: HOST A MOCK CITY COUNCIL MEETING

COALITION PREPARATION

Coalition members should prepare the following in preparation for the Council Meeting:

What key talking points must be delivered to the decision maker?	Who will deliver the key point? Have a variety of angles.	What materials will you provide to the decision makers? (e.g. Issue Brief, maps, letters of support)

Work out a plan for who will deliver the key messages. Practice making your case in front of a mock decision-making body. Have decision makers ask tough questions and practice responding in a controlled, professional manner.

If you would like practice and hold a mock hearing with your coalition, reach out to the Southeast PTTC for suggestions and guidance. We have role-play scenarios available. Email: southeast@pttcnetwork.org

APPENDIX L.
Policy Step 9: Supporting Implementation & Compliance

Implementation and Compliance is a shared responsibility
Passing the policy is 50% of your effort. The remaining 50% of efforts go to support the policy implementation and ensuring compliance/enforcement.

Implementation Action Plan
It is important to design compliance strategies that reflect community values and will not contribute to systemic oppression or disadvantage to priority populations.

1. Are there opportunities for self-enforcing policies and compliance (e.g. signage, etc.)?

2. How might you ensure that the policy compliance process will be equitable?
(e.g. does not create further harm, does not criminalize poverty)

POST ADOPTION KEY ACTIVITIES FOR COALITION

Activity	Who is Responsible on the Coalition
Establish a regular meeting between City/County Administration and coalition members (monthly, quarterly).	
Coalition periodically checks in on the agency's development of a written compliance standard operating procedure (SOP). This will guide the compliance process.	
Assist the compliance agency with drafting a data collection protocol. What data are available, how will they be captured?	
Discuss with compliance agency how implementation is going. Any impacts? Any unintended consequences? Successes?	
Coalition uses media to support ongoing compliance efforts. Develop stories of compliance events/ outcomes/wins (see below for more considerations).	
Coalition will provide community education on the new or changed policy. Consider creative media strategies might to get out the messages.	
What media sources will you use to provide positive feedback to the compliance agency when compliance is happening on a regular basis?	
Coalition will ensure that the community is monitoring compliance and knows where to report violations.	
Coalition periodically uses "open time/community input" at decision maker meetings (i.e. city council, school board, etc.) to report on the compliance activities from the community perspective. This is a time to thank the decision makers for their adoption of the policy and the compliance agency for enforcing it. This activity also keeps the ATOD issue the policy addresses in front of community.	

APPENDIX M.
Policy Step 10: Evaluate Effectiveness

What would your decision makers want to know about the impacts of the ordinance?

What would your enforcement entity want to know about the impacts of the ordinance?

What would your community need to know about the impacts of the ordinance?

THREE TYPES OF EVALUATION

Sample process evaluation questions	Sample implementation evaluation questions	Sample impact evaluation questions
Do coalition members have the skills necessary for a policy campaign?	What imputs and resources were required to implement the policy?	Has the been a reduction for police calls for service to unruly home parties?
Did we conduct our activities at the right location, on the right day?	What key activitiesw and resources were required to implement the policy?	Has the been a reduction in underage DUI's resulting from home parties?
Are we reaching intended tagrets through our media campaign?	was the policy implemented consistently across the community?	Has there been a reduction in party attendance by underage youth?

Construct a few evaluation questions of your own for your policy. Have no more than two questions for each type of evaluation.

Process evaluation questions	Implementation evaluation questions	Impact evaluation questions

Southeast (HHS Region 4)

PTTC

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