

**Nebraska Strategic Prevention Framework
State Incentive Grant (SPF SIG)**

IMPLEMENTATION TOOLKIT

May 2009



ACKNOWLEDGEMENTS

This Implementation Toolkit was created by adapting and melding together material from the following two primary sources:

- (1) The Rand Corporations **Getting to Outcomes™ 2004**, which can be accessed online at http://www.cgi.rand.org/pubs/technical_reports/2004/RAND_TR101.pdf, as well as the 2007 version, **Preventing Underage Drinking: Using Getting to Outcomes with the SAMHSA Strategic Prevention Framework to Achieve Results**, which can be accessed online at http://www.cgi.rand.org/pubs/technical_reports/TR403/.
- (2) The Community Anti-Drug Coalition of America's (CADCA) **Implementation Primer: Putting Your Plan Into Action**, which can be accessed online at http://www.coalitioninstitute.org/SPF_Elements/Implementation/ImplementationPrimer--05-2007.pdf.

Please note that Appendix A of this Toolkit, though also adapted from CADCA's Implementation Primer, was, in turn, adapted from the section of the University of Kansas' Community Tool Box, titled **Organizing for Effective Advocacy**, which can be accessed online at <http://ctb.ku.edu/tools//index.htm#part1>.

Karen Abrams, Consultant to Nebraska SPF SIG, was responsible for adapting and combining material from the above sources. Important feedback was provided by Jeff Armitage and Dianne Harrop, of the Nebraska Department of Health and Human Services, as well as staff of Research Triangle Institute (Nebraska's statewide evaluator for the SPF SIG project), and staff of Nebraska's Regional Prevention Centers.

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Introduction to Implementation

During the planning stage of the SPF, you selected strategies to address the problem(s) your coalition seeks to change. This Toolkit focuses on implementation, the fourth element of the SPF, which is all about putting your plan into practice. The role of coalition members now moves from planning to oversight, mutual accountability and monitoring. During the implementation phase, coalition members need to step up and honor the commitments they made during the planning process to carry out and/or oversee various aspects of the coalition's work.

Before beginning the implementation phase, your coalition should stop and ensure that members understand the strategies that will be employed, as well as the concise contributions they will provide. Coalition members should agree with the selected strategies and understand how the activities being carried out in the name of the coalition will lead to desired outcomes. Once that understanding and agreement has been reached, it's time to start implementing selected strategies.

This also is the time to strengthen members' commitment to your strategic plan, and for them to demonstrate their effectiveness in solving community problems. Remember, coalition members should be working in a parallel track, alongside the staff implementing strategies. Your coalition can accomplish this by engaging coalition members in the monitoring process, through meetings where people come together to talk about implementation issues, and by brainstorming ways to address challenges as they arise in order to make mid-course corrections.

This Toolkit provides the information and tools you will need to hit the ground running with strategy implementation, and focuses on how to develop solid action plans that set you up to effectively monitor your implementation process. Hopefully, this Toolkit will help you to do a better job at carrying out the complicated and interwoven steps involved in implementing your chosen strategies. The tools provided here are intended to assist you in this process. You should be working hand-in-glove with your local evaluator to modify and use these tools throughout the implementation process.

Cultural Competence and Implementation

Coalitions can mobilize entire communities to implement multiple strategies designed to comprehensively reduce alcohol abuse. However, to achieve that goal, they must reach out to all segments of the community and inform them of the potential effects of different policies, practices and programs. Developing a process that involves major stakeholders—especially individuals or groups affected by or concerned with the problems that have been identified—brings credibility to, and community ownership of, the coalition's strategic plan. Including diverse groups that have direct history and experience with the issue(s) helps to ensure that strategies will be implemented in a manner that is appropriate for target communities. Remember, diversity encompasses more than race and ethnicity—it also includes such factors as gender, age, disability, and political affiliation.

As you attempt to implement population-level strategies to reduce alcohol abuse, you should simultaneously build capacity and leadership among diverse populations within your community that are vital to the success of the coalition's efforts (see Appendix A on p. 32 of this Toolkit for an explanation of how to create community change through mobilization to maximize the effects of selected strategies). Potential conflicts that could affect the outcome of the coalition's work—as well as other issues that will undoubtedly arise—can be dealt with sooner rather than later. Ultimately, those most affected by the problems will determine, in large part, the extent to which the coalition achieves success in reducing the community's alcohol-related problems.

Getting Started

Coalitions generally implement their plans through a combination of coalition members, paid staff, and/or other organizations or individuals committing to doing specific work related to the project. For example, your coalition has engaged a consultant for program evaluation. Contracts can also be made directly with individuals or organizations to assist in the implementation process. Alternatively, the coalition can issue a request for proposals defining the work it wants done and then invite community-based organizations or individuals to develop and submit proposals outlining in detail how they plan to carry out specific implementation activities.

It is your coalition's responsibility to ensure that it has the capacity to provide qualified, trained and committed staff, volunteers and/or consultants at the appropriate levels to implement each of your chosen strategies. Consequently, it is also your coalition's responsibility to ensure upfront training prior to strategy implementation, as well as adequate opportunities for ongoing training and technical assistance for staff and volunteers. In addition to strategy-specific skills, you will also want to promote expertise in the following overarching areas:

- Ongoing community collaboration;
- Understanding the importance of diversity and inclusion;
- Leadership, including ensuring that all key process functions are maintained (e.g., consensus-building, creating shared ownership, leveraging resources);
- Communications and public relations;
- Logistics (complex planning and small details);
- Monitoring and realistic appraisal of the progress of the plan.

Developing Action Plans

Action plans lay out how each component of a strategy will be carried out. It is important to have ongoing action plans that specify who will do what, when and where. The tools that accompany this section are designed to assist you to remember all of the necessary details in order to implement quality strategies. Just like a “to do” list to

organize tasks, these tools provide a straightforward method to plan your strategies. Good planning can improve implementation, which in turn can lead to improved outcomes. Action plans should include the following four components, each of which is described in greater detail, below:

1. Strategy summary;
2. Identification of major components (including planned implementation dates; who will be responsible for implementation; needed resources and/or materials to be provided; and planned location for activities, if applicable);
3. Anticipated outputs;
4. Steps to implement major components.

1. **Strategy Summary:** It is useful for your planning documents to include a strategy name and summary to orient your audience to the strategy and its purpose (see tool on p. 19). The summary is a brief description that includes a thumbnail sketch of desired outcomes, as well as of the various activities that, together, make up the core components of the strategy.

In addition, a simple statement about *how* the strategy is expected to have a positive impact is useful. Often called the strategy's "theory of change," this statement is the basis behind the intervention. Go back to Appendix E of the Nebraska SPF SIG Strategy Approval Guide (titled, "If-Then Propositions & IOM Categories") and examine the "if-then" propositions you developed to connect strategies to the alcohol abuse changes you are striving for. These "if-then" propositions are your theory of change. If you are using an individually-focused program, this summary might be found in the program's materials. If it is an environmental strategy, this information might be found in some of the research literature about the approach.

2. **Identification of Major Components:** Strategies are made up of specific components or activities (see tool on p. 20). For example, an environmental strategy focusing on policy change might include the following main components: hiring a community organizer, developing an organizing strategy, selecting specific alcohol policy and enforcement goals, and mobilizing citizens of the community to push for those goals. Alternatively, the major components of a parenting program might include parenting classes, home visits, and community meetings.

In choosing how specific you will be in identifying strategy components, think about what will be useful to monitor throughout the implementation of your project. Please note that you do not need to identify every single detail necessary to implement the strategy (e.g., copying worksheets). Think about choosing specific components in terms of how they might inform the evaluation process later on.

3. **Anticipated Outputs:** Outputs are the direct, countable, products of the components of a strategy, and usually are measured in terms of work accomplished (see tool on p. 20). Now it's time to ask yourself, "What outputs will show that the components of this strategy were implemented as intended?" There are two main types of outputs to track: One is the number of *services delivered* (number of compliance checks, number of hours of class and/or training, number of sessions, number of public service announcements aired, etc.) and the other is the *number of people served*. Like distance and destination signs on a highway, outputs indicate that your strategy is going in the direction that you intended. Below are examples of outputs for different types of components.

Anticipated Outputs	
If your component is ...	Possible program outputs might be...
Ongoing compliance checks	Number of compliance checks (<i>services delivered</i>)
Enforcement	Number of citations and/or penalties for selling to underage drinkers (<i>services delivered</i>)
Media coverage	Number of public service announcements (PSAs) advertising enhanced enforcement activities (<i>services delivered</i>); Number of people reached through PSAs (<i>people served</i>)
Beverage server training	Number of trainings (<i>services delivered</i>)
Parenting classes	Number of parents attending the classes (<i>people served</i>); Percentage of parents completing classes (<i>people served</i>)
A school-based prevention program	Number of children attending the program (<i>people served</i>)

Anticipated outputs should be stated in precise, numeric terms. For example, a road sign that reads "Los Angeles this way" is not as helpful as a sign that reads "Los Angeles 100 miles."

Monitoring outputs, while seemingly just boring and time-consuming paperwork, will be critical to understanding your outcomes. During evaluation, the outputs that you anticipated will be compared with the actual outputs you achieve. If you are not achieving the objectives you desire, examining the differences between anticipated and actual outputs can demonstrate why. By monitoring strategy outputs throughout the implementation process, you will gather information to make improvements while

the strategy is still ongoing.

4. **Steps to Implement Major Components:** Now that you have identified the major components of your strategy, each of those components needs to be planned out (see tool on p. 21). Think about the major activities that need to be completed in order to make each component successful. Each component is made of several activities, and it is important to list each activity for each component of your strategy. Some activities could include the following:

- **Outreach to Target Population / Recruitment of Participants:** If you are implementing an environmental strategy, how will you reach all of the individuals in your target population? Will you use television? Billboards? Community forums?

Or, if you are implementing an individually focused program, how will you recruit participants? Will you post flyers to advertise the program, collaborate with other agencies such as schools and boys and girls clubs, or access the participants of your own agency?

- **Staff Training:** If staff is unfamiliar with the strategy, one of the first key activities will be staff training on how to implement the program, policy or practice.
- **Other Activities:** In addition, there are many other activities to be considered (e.g., planning meetings, transportation issues, providing food).
- **Scheduled Dates:** When will each activity occur? By deciding upon the approximate dates for the completion of each activity, a timeline will emerge. Use these dates to assess if your strategy is being implemented in a timely fashion.
- **Who will be Responsible?:** Before implementing a strategy, decide which staff will be responsible for each activity. Will it be from the existing staff? Will new staff or an outside agency be hired?
- **Resources Needed:** Consider what resources are needed for each activity. This may include financial resources as well as specific supplies like food, markers, or paper. Do they need to be purchased with grant funds? Will they be donated by local businesses? Are the specific amounts in the initial budget request still correct? If not, what changes are needed?
- **Location:** If a location is necessary in order to implement an activity, determine where it will be held. What location is available and appropriate? A boardroom? A gymnasium? A church? Certain locations will require significant lead time to reserve, and the space available may determine the type of activities that can be conducted.

Preparation Checklist

What must be done to prepare for this strategy? Have these tasks and activities been

sufficiently addressed? The Preparation Checklist (p. 22) serves as the means to answer these questions, and is used to plan and document efforts that were made to “gear up” or prepare for a strategy prior to its implementation. The checklist is a series of prompts to ensure that certain necessary tasks were completed prior to beginning to implement the strategy. The items listed are likely to be necessary elements for any strategy, such as “duties assigned,” “resources obtained,” and “location identified,” but are not exhaustive. For many strategies, there may be additional tasks that must be done before implementation can begin, and the checklist can be customized. For example, hiring and training buyers is an activity specific to compliance checks, and conducting background checks on potential mentors is a task that is specific to a mentoring program.

It may be helpful to organize the checklist according to specific components of a strategy, thereby creating separate checklists for each individual component. For instance, if your strategy includes compliance checks, party patrols, and citations and penalties for both selling/supplying to underage drinkers, as well as to underage youth for possession, a separate checklist can be created for each of those components. Once you have a list of tasks that best represents your strategy, check “yes” (Y) for the tasks that have been sufficiently addressed. For each task that has *not* been completed (“no” (N)), provide a plan for addressing it in the future and a date by when it will be completed. Check “not applicable” (N/A) if the task listed is not relevant to your strategy.

Introduction to Monitoring

It is not enough to carry out the activities reflected in your plan. Your coalition should document the implementation process and describe any changes you make to your original plan along the way. This process is called monitoring. This Toolkit includes several monitoring tools to assist you, but, as noted earlier, you should be working with your local evaluator and the statewide evaluator (Research Triangle Institute) throughout the implementation process to modify and use these monitoring tools as well as to develop and use addition, project-specific, monitoring tools that will be needed to gather required information.

You will have to report on the accuracy with which your coalition has implemented its evidence-based strategies as part of the process evaluation. Suppose, for example, your coalition engages in policy change as one way to affect the retail alcohol environment and reduce youth access to alcohol. After learning that one strategy you selected has assisted communities to change policy through the help of a full-time community organizer, your coalition decides to hire someone. However, the coalition cannot find a suitable person who can work 40 hours per week, so you hire a well-qualified, part-time person instead. You need to document this change in your implementation description so you can track whether it impacts your coalition’s outcomes.

Monitoring the degree to which the plan for implementing a strategy was followed involves developing a careful description of what was actually done; what, if anything, was left out;

and how many people were reached or included in each component of the strategy. Documenting whether or not the components were carried out as intended is an essential step that will assist you later on in evaluation. Remember, information is most useful when recorded during or immediately after each activity. Otherwise, important information that could help improve the chances of achieving results might be overlooked or forgotten.

Monitoring Action Plans

Monitoring action plans (see tool on p. 24) involves noting down the key activities that are required in order to implement every component of a strategy. Prior to implementation, you should make a notation of the date each activity is supposed to be completed. Later, immediately after each activity is implemented, you must track the actual date of completion, and explain why the actual completion date is different from the originally planned completion date. If, for some reason, an activity was never implemented, you should also note that, and provide an explanation as to why.

In addition, you must keep track of whether or not the individual(s) originally charged with responsibility for implementation were the ones who completed the activity, whether or not needed resources were provided, and whether or not implementation took place in the planned location (if applicable). For each of these items, when what actually happened differs from what was planned, you must provide an explanation.

Monitoring Component Outputs

To monitor the outputs of each component of a strategy, you must record the date of each component and the output(s) you anticipate for all of the activities that, together, make up that component (see tool on p. 26). Later, immediately after each activity is implemented, the actual outputs for each component must be recorded using the same tool.

This comparison of anticipated and actual outputs will help you understand how well a strategy is working because it will tell you about the degree to which the target population is receiving the strategy. It can be useful to think of strategies as if they were a medication, and receiving the strategy in terms of dosage. For example, if you are conducting a high visibility enforcement effort, including a media campaign to inform the public, you will want to be able to estimate the number of people actually reached through your media campaign, as well as an estimate of how frequently people are likely to have come in contact with the campaign (e.g., via newspapers, billboards, radio). Alternatively, if you are giving a ten-session training program to high school students and some students attend only seven of the sessions, those students do not receive the same dosage as those who attended all ten sessions. Similarly, if you planned for ten sessions but for some reason gave only eight, the program may not have been powerful enough to accomplish your desired outcomes.

The dosage of a strategy can be expressed as the *%Output*. This number represents a comparison of the anticipated outputs and actual outputs of a program. Dividing the

actual output by the anticipated output and multiplying that number by 100 produces the *%Output*.

For example, if one of the planned activities was to conduct alcohol compliance checks (having youth pretend to want to buy alcohol at a store to see if the store employee appropriately verifies their age), you would record the dates and numbers of stores you planned to visit in the date and anticipated output columns. After each day of the operation, you would record the actual number of stores visited in the Actual Output column. By the end of the process, if you anticipated having ten stores visited and you actually visited six, the *%Output* would be 60% ($6/10 \times 100 = 60\%$).

$$\frac{\text{Actual}}{\text{Anticipated}} \times 100 = \% \text{ Output}$$

Monitoring the Target Population

During the monitoring process, you will also keep track of information about your target population. First, you will record the number of individuals you anticipated reaching, and compare that with the number you actually succeeded in reaching (see tool on p. 28). For example, if you held a town-hall meeting to discuss the need to change a local zoning ordinance as a way to increase the distance between schools and liquor stores, and you hoped that 75 people would attend, but you actually had 100 there, you would want to note this fact. Or, if you planned to recruit 30 high-risk teens from a local middle school for participation in a classroom-based prevention program and the actual number of participants was 15, you will want to track these discrepancies. Your evaluator will help you to analyze what these differences may mean to you in terms of the potential to achieve desired outcomes.

If you are implementing an individually focused program, you will also want to keep track of whether or not your program participants were recruited as planned. You should note down the method of recruitment, and address whether or not participants were recruited according to your plan. If there are discrepancies between the planned method of recruitment and the actual method of recruitment, those differences should be recorded. For example, if you planned to recruit teens through referrals from school guidance counselors, but ended up expanding your base of recruitment to all teachers, staff at local after-school programs, churches and faith-based organizations, you will want to make note of that.

Monitoring Collaboration Partners

In this part of the monitoring process, you should address the extent to which you have achieved the degree of collaboration that you expected to in implementing a strategy (see tool on p. 29). You should record the partners that you anticipated, along with the

anticipated role of each potential partner. Then, you should document the actual number of partners that participated, and the actual role of each of these individuals, agencies or organizations. Agencies or organizations that became partners after the strategy was initiated or after your plan was submitted may also be identified. When an anticipated partner does not end up collaborating to implement a strategy, this should be documented as well, and explained in greater detail in the section on “Progress, Problems, and Lessons Learned” (see explanation, below).

Monitoring Progress, Problems, and Lessons Learned

In order to document the successes and challenges experienced during the implementation of a strategy, you should also keep track of the general progress, unforeseen problems, and lessons learned during implementation. Documenting and reviewing the progress, problems, and lessons learned on a regular basis help to keep track of the ways a strategy is, or can be, adjusted to meet the needs of participants. (NOTE: Each monitoring tool mentioned above includes a section to note “Progress, Problems, and Lessons Learned.”)

Recording the successes and challenges of a strategy is helpful for at least two reasons:

1. Looking for barriers, obstacles, and challenges to a strategy provides an opportunity to make improvements;
2. Recording challenges and successes can help you to avoid pitfalls in future implementation of similar efforts, both for your coalition and others that might use your strategy in the future.

There are two questions to be considered in each “Progress, Problems, and Lessons Learned” section. The first has to do with specific things that went well and not so well as a result of implementing this strategy. The second involves thoughtful consideration of areas in need of attention. These questions should be addressed regularly during the implementation of any strategy. How often you address these questions may vary depending on the strategy, but it is important to ask these questions frequently and to keep a written record of how you addressed these questions.

For example, if you are engaging in a door-knocking effort to educate the community about the need for a particular policy, you may find that your dependence on volunteers has not produced the number of door-to-door community mobilizers you need to effectively cover a neighborhood. Or, when running an individually focused strategy, you might uncover evidence that the program is not engaging as many “hard-to-reach” or “at-risk” participants as you had hoped. In cases such as these, it may be useful to rethink some of the activities undertaken so far, and make the necessary changes to ensure that a larger number of the target population is being reached.

Monitoring Community Change

As you implement your plan, you will want to quantify and/or categorize successful actions in the community designed to lead to population-level change (see tool on p. 30). While you should always “keep your eyes on the prize” and pick strategies capable of delivering the maximum effect, you also should measure and document short-term changes along the way (these are sometimes call “benchmarks”). That is the purpose of developing a logic model: to think through the shorter-term changes or outcomes you may see on the way to accomplishing long-term population-level outcomes.

The coalition also should create a reporting process for individuals or organizations responsible for implementing various parts of the plan. This will result in a good description of the implementation as it unfolds. You can have your evaluator help set up a reporting system. Otherwise, identify someone in your coalition who has the skills to oversee this aspect of your work.

Monitoring Fidelity

As mentioned earlier, documenting whether or not the components were carried out as intended is an essential step that will assist you later on in evaluation. If a strategy is not carried out as designed, then it is probably not reasonable to expect to achieve desired outcomes. If you are using an individually focused strategy, very often these programs come with their own tools to assess fidelity. If not, you can use the tool on p. 31.

Implementation Review

Generally, within 3-6 months of beginning a new strategy or activity, your coalition staff should develop a systematic way to review your logic model and strategic plan in order to accomplish the following:

- Document strategy components that work well;
- Identify where improvements need to be made;
- Provide feedback so strategies are implemented more effectively;
- Make timely adjustments in activities and strategies to better address identified problems;
- Assess whether enough resources have been leveraged and where you might find more;
- Engage stakeholders/sectors (community members, providers, staff, etc.) so they feel a sense of responsibility and pride in helping to ensure that the goals and objectives of the coalition are met, and, ultimately, in the reduction of the community’s alcohol and related problems.

Please note that your local evaluator and the statewide evaluator (Research Triangle Institute) will conduct site visits that specifically will focus on strategy implementation.

No One Can Predict the Future

We all know that plans we make for the future do not always come to fruition. This also holds true for coalitions. You can have the best strategic planning process or the most detailed action plan, but unanticipated, unforeseen or unintended events can occur and impact implementation of your plan. Alternately, issues may arise that alert you to something not included or under-estimated in your plan that can affect the coalition's ability to address the identified problem(s).

For example, you may have identified a particular target population as the focus of your efforts. Over time the demographics of your community may change so that your original target population is no longer considered "at risk." Your coalition becomes aware of the change because of your continued assessment of the community. Your planned strategy might be outdated and you will need to rethink what problems need addressing and what strategies to implement in your community.

When new circumstances like this arise, you will have to go back to your strategic plan to re-think the strategies you have selected. Instead of thinking of this process as a failure, you should think of it as what strategic planning is all about. Circumstances change, and your plan will have to change and evolve as well. That is as it should be.

Implementation Checklist

For each of the following steps of the implementation process, make sure that your coalition can check the appropriate box indicating that the process is completed.

Prepare for Implementation:

- Ensured coalition members understand selected strategies (and how they will lead to desired outcomes).
- Ensured coalition members understand the contributions they have agreed to make.

Action Planning:

- Created a strategy summary.
- Identified the major components of each selected strategy.
- Identified anticipated outputs for each component.
- Identified specific activities that together make up each component of a strategy.
- Created a realistic timeline for completing each activity.
- Identified those who can be responsible for each activity.
- Identified resources needed for each activity.
- Identified resources available for each activity.
- Identified facilities/locations available for each activity.
- Ensured adequate levels of collaboration including roles for partners.
- Adequately addressed cultural competency (outreach to, and inclusion of, diverse segments of the community in the action planning process).

Implementation:

- Adequately addressed cultural competency (i.e., outreach to, and inclusion of, diverse segments of the community in the actual implementation of strategies).

Monitoring:

- Worked with local evaluator and the statewide evaluator (Research Triangle Institute) to modify and/or use Toolkit monitoring tools as well as to develop and use project-specific monitoring tools.
- Measured how well implementation followed the action plan:
 - Tracked actual duration for each activity of a component.
 - Tracked whether or not the individual(s) originally charged with responsibility for implementing an activity were the ones who actually completed it,
 - Tracked whether or not needed resources were provided.
 - Tracked whether or not implementation took place in the originally planned location (if applicable).
- Monitored component outputs, including the % *Output*.
- Recorded progress, problems and lessons learned regarding outputs.
- Monitored the target population reached, including characteristics (e.g., age, race, sex), their satisfaction level with the strategy, and progress, problems and lessons learned regarding the target population.
- Measured participant satisfaction (where applicable).
- Recorded progress, problems and lessons learned regarding the target population reached.
- Measured the degree to which anticipated partners fulfilled anticipated roles, and if not, who ended up taking responsibility.
- Recorded progress, problems and lessons learned regarding collaboration partners.
- Monitored the types of community change that occurred during implementation.
- Recorded progress, problems and lessons learned regarding community change.
- Measured the degree to which activities for each strategy component were implemented with fidelity.
- Recorded progress, problems and lessons learned regarding fidelity.
- Ensured that cultural competency was addressed (i.e., outreach to, and inclusion of, diverse segments of the community in the monitoring process).

STRATEGY SUMMARY

Provide the name and brief summary of the strategy. The summary is a brief description that includes a thumbnail sketch of desired outcomes, as well as of the various activities that, together, make up the core components of the strategy. In addition, a simple statement explaining the “theory of change” behind the strategy should describe *how* the strategy is expected to have a positive impact.

Date:

Name of person completing form:

Strategy Name:
Summary of Strategy:

IDENTIFICATION OF MAJOR COMPONENTS & ANTICIPATED OUTPUTS

This tool should be completed prior to beginning strategy implementation. Identify the key components of the strategy. Identify the outputs that will show that the components were implemented as intended (outputs are the direct, countable, products of activities and usually are measured in terms of number of services delivered or number of people served). NOTE: You must work with your local evaluator to complete and/or modify this tool.

Date:

Name of person completing form:

Describe Component	Anticipated Output(s) (e.g., How many....)
Component:	

Note: For additional components, copy this checklist, and make sure each component is numbered appropriately.

PREPARATION CHECKLIST

This tool should be completed prior to beginning strategy implementation. Answer the question, "What must be done to prepare for this component?" Regarding each task below, indicate "Y" (Yes) if the item has been addressed, "N" (No) if it hasn't, or "NA" (Not Applicable). If you marked "No," describe a plan to address the item, and provide a timeline for completion. NOTE: You must work with your local evaluator to complete and/or modify this tool.

Date:

Name of person completing form:

Component:		
Checklist Item	If "No," Describe Plan for Completion	By When?
Resources obtained Y <input type="checkbox"/> N <input type="checkbox"/> NA <input type="checkbox"/>		
Person responsible Y <input type="checkbox"/> N <input type="checkbox"/> NA <input type="checkbox"/>		
Staff trained Y <input type="checkbox"/> N <input type="checkbox"/> NA <input type="checkbox"/>		
Duties assigned Y <input type="checkbox"/> N <input type="checkbox"/> NA <input type="checkbox"/>		
Location identified Y <input type="checkbox"/> N <input type="checkbox"/> NA <input type="checkbox"/>		
Timeline written Y <input type="checkbox"/> N <input type="checkbox"/> NA <input type="checkbox"/>		
Collaborative partners identified Y <input type="checkbox"/> N <input type="checkbox"/> NA <input type="checkbox"/>		
Materials developed Y <input type="checkbox"/> N <input type="checkbox"/> NA <input type="checkbox"/>		

PREPARATION CHECKLIST, continued...

Checklist Item	If “No,” Describe Plan for Completion	By When?
All components are included OR adapted with good justification Y <input type="checkbox"/> N <input type="checkbox"/> NA <input type="checkbox"/>		
Other: Y <input type="checkbox"/> N <input type="checkbox"/> NA <input type="checkbox"/>		
Other: Y <input type="checkbox"/> N <input type="checkbox"/> NA <input type="checkbox"/>		

Note: For additional components, copy this checklist, and make sure each component is numbered appropriately.

MONITORING ACTION PLANS

NOTE: Work with your local evaluator to complete and/or modify this tool and to determine frequency of data collection. See tool titled “Steps to Implement Major Components” on p. 21 for needed references regarding original plans.

Date:

Name of person completing form:

Component:					
Key Activities	Planned Date to Complete Activity	Actual Date of Completion (If different from planned date, please explain; if activity not completed, note that, and explain)	Did Originally Assigned Person Complete the Activity? If not, please explain	Were Resources / Materials Identified as Needed Actually Acquired? If not, please explain; if other materials were acquired, please explain	If Applicable, was the Planned-for Location Utilized? If not, please explain
			Y <input type="checkbox"/> N <input type="checkbox"/>	Y <input type="checkbox"/> N <input type="checkbox"/>	Y <input type="checkbox"/> N <input type="checkbox"/>
			Y <input type="checkbox"/> N <input type="checkbox"/>	Y <input type="checkbox"/> N <input type="checkbox"/>	Y <input type="checkbox"/> N <input type="checkbox"/>
			Y <input type="checkbox"/> N <input type="checkbox"/>	Y <input type="checkbox"/> N <input type="checkbox"/>	Y <input type="checkbox"/> N <input type="checkbox"/>
			Y <input type="checkbox"/> N <input type="checkbox"/>	Y <input type="checkbox"/> N <input type="checkbox"/>	Y <input type="checkbox"/> N <input type="checkbox"/>
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MONITORING ACTION PLANS, continued...

Key Activities	Date Scheduled to Complete Activity	Actual Date of Completion (If different from planned date, please explain; if activity not completed, note that, and explain)	Did Originally Assigned Person Complete the Activity? If not, please explain	Were Resources / Materials Identified as Needed Actually Acquired? If not, please explain; if other materials were acquired, please explain	If Applicable, was the Planned-for Location Utilized? If not, please explain
			Y <input type="checkbox"/> N <input type="checkbox"/>	Y <input type="checkbox"/> N <input type="checkbox"/>	Y <input type="checkbox"/> N <input type="checkbox"/>
			Y <input type="checkbox"/> N <input type="checkbox"/>	Y <input type="checkbox"/> N <input type="checkbox"/>	Y <input type="checkbox"/> N <input type="checkbox"/>
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			Y <input type="checkbox"/> N <input type="checkbox"/>	Y <input type="checkbox"/> N <input type="checkbox"/>	Y <input type="checkbox"/> N <input type="checkbox"/>

Note: For additional components and/or activities, copy this page, and make sure each component is numbered appropriately.

Progress, Problems & Lessons Learned Regarding Action Plans (i.e., barriers to completing key activities on time, with original implementer, with needed resources, in planned location)

MONITORING COMPONENT OUTPUTS

This recording form is flexible. The level of information recorded here will vary depending on the strategy and component. In some cases, it may be useful to record data on a day-by-day basis. In other cases, it may be more efficient to present data by summing up information over weeks or months. NOTE: Work with your local evaluator to complete and/or modify this tool, and to determine frequency of data collection.

You are asked to rate the implementation of activities designed to achieve specific outputs as “high,” “medium,” or “low.” If, for whatever reason, major changes take place in the actual implementation of a component (e.g., certain barriers or practical considerations make it necessary to change the design), a rating of “low” would be appropriate. If the implementation of the activity were very close to or exactly like it was planned, the rating would be “high.” If the activities intended to achieve a specific output were not implemented at all, you should indicate that by marking “No” and provide an explanation as to why implementation didn’t take place.

Date:

Name of person completing form:

Component:					
Output	Date or Period Represented	Implemented as Planned (High, Medium, Low, No; if No, explain why not)	Anticipated Outputs	Actual Outputs	% Output (actual / anticipated times 100)
		High <input type="checkbox"/> Med <input type="checkbox"/> Low <input type="checkbox"/> No <input type="checkbox"/> Why:			

MONITORING COMPONENT OUTPUTS, continued...

Output	Date or Period Represented	Implemented as Planned (High, Medium, Low, No)	Anticipated Outputs	Actual Outputs	% Output (actual / anticipated times 100)
		High <input type="checkbox"/> Med <input type="checkbox"/> Low <input type="checkbox"/> No <input type="checkbox"/> Why:			
		High <input type="checkbox"/> Med <input type="checkbox"/> Low <input type="checkbox"/> No <input type="checkbox"/> Why:			
		High <input type="checkbox"/> Med <input type="checkbox"/> Low <input type="checkbox"/> No <input type="checkbox"/> Why:			

Note: For additional components, copy this page, and make sure each component is numbered appropriately.

Component: Progress, Problems & Lessons Learned Regarding Outputs

MONITORING THE TARGET POPULATION

Work with your evaluator and the state evaluator (Research Triangle Institute) to identify what you need to monitor in terms of the characteristics of the target population you have reached (e.g., age, race, sex), to develop the appropriate monitoring tool(s), and to determine frequency of data collection. You should also keep track (where appropriate) of the satisfaction level of those reached with the strategy that you implemented. Finally, you should also monitor the progress, problems and lessons learned regarding your target population.

Date:

Name of person completing form:

Progress, Problems & Lessons Learned Regarding Target Population

MONITORING COLLABORATION PARTNERS

Identify the extent to which the strategy has achieved expected collaboration by identifying anticipated partners and their roles; documenting differences between the actual and anticipated partners (including individuals, agencies or organizations that became partners after the strategy was initiated or after the plan was submitted). NOTE: Work with your local evaluator to complete and/or modify this tool and to determine frequency of data collection.

Date:

Name of person completing form:

Anticipated Partner	Actual Partner	Anticipated Role	Actual Role

Progress, Problems & Lessons Learned Regarding Collaboration Partners (e.g., when an anticipated partner does not collaborate with the strategy)

MONITORING COMMUNITY CHANGE

Work with your local evaluator to identify what you need to monitor in terms of the types of community change that have occurred during the implementation process, and to determine frequency of data collection. You should also monitor the progress, problems and lessons learned regarding community change.

Date:

Name of person completing form:

Progress, Problems & Lessons Learned Regarding Community Change

APPENDIX A:

COMMUNITY MOBILIZATION for ENVIRONMENTAL CHANGE

Introduction

This appendix describes how community mobilization intersects with and supports the implementation of environmental prevention strategies. Coalitions that truly seek population-level changes in their communities often find that they require broad-based support to change policies, practices or systems. You may be concerned with improving problem environments by enacting informal or formal policies (e.g., legislation), and/or changing certain practices. Coalitions that successfully affect these types of environmental changes are more effective if they embrace the core elements of cultural competence and reach out, incorporate, and empower diverse segments of the community.

For successful implementation of the strategies identified in your plan, your coalition members may need to step out of their normal roles to become advocates rather than program developers or planners. As a part of that process, your goal may be to influence policy-makers and other decision-makers, hold officials, agencies, organizations and companies accountable for their actions, or increase cultural awareness and competence among health and human service providers serving the community. To accomplish your goals, you will need the support of many sectors of the community.

Coalitions are Powerful

Coalitions are uniquely positioned to identify and bring about needed changes in community practices that can reduce the risk for—and consequences of—alcohol abuse. These changes can take many forms. For example, advocacy can be used to:

- Develop new practices such as police officers regularly attending neighborhood meetings;
- Pass ordinances to limit over-concentration of retail alcohol outlets in particular areas;
- Include the people affected by the problem in all aspects of implementing and evaluating a particular strategy;
- Implement new policies such as new workplace training around alcohol abuse;
- Enforce new and existing policies, e.g., sales to minors laws.

Researching the Issues

Regardless of the scope of your effort, you will need information in order to change laws and policies, prompt an official investigation, or affect public opinion. For example, your coalition may need to know how many stores that sell alcohol display those products, or advertisements for those products, in close proximity to items that typically attract children or youth. Or, you may need to know how many drunk-driving arrests have been made on a main thoroughfare.

Learning all you can about your issue enables you to support your statements with facts and statistics, and gives you credibility and the means to counter the arguments of your opponents. When your advocacy work may be perceived as adversarial—such as trying to restrict the number of bars or alcohol retail outlets in a neighborhood—doing careful research helps you to prove your case and to know what needs to be done to change the situation.

As you already know from the assessment process, research and data collection can take a variety of forms, from collecting information from published or original-source materials in libraries, archives, the government, or the Internet, to taking photos, or conducting interviews, surveys, or studies. You already may have collected relevant data during the assessment phase (e.g., outlets that sell alcohol to minors), but it might make sense to collect additional data. If the data you collected indicate that some outlets sell alcohol to minors, you may, for example, want to have advocates survey stores to measure the extent to which alcohol advertisements in windows are visible from the outside, or the number of stores that place alcohol products that are attractive to youth (e.g., wine coolers or other fruity drinks) near energy drinks and/or other non-alcoholic items that also might attract youth.

Regardless of the type(s) of research you do, your coalition can benefit from a few general guidelines:

- Ask for help;
- Find out if someone else has already done the research and is willing to share it with you;
- Understand the basic information about your issue;
- Be clear about how you want to use the information;
- Ensure information comes from reliable sources and double check everything. Your coalition's credibility is at stake;
- Be persistent if the information you need is hard to find.

Build Capacity

This is a good time to build additional capacity specific to the strategies your coalition is implementing. Suppose you are working to reduce alcohol outlet density; you can

involve congregations in neighborhoods with high density in your coalition. Together, the faith community and coalition can mobilize and train residents from the affected area to advocate for a zoning change or increased law enforcement to deal with the problems that a high concentration of outlets can bring to a neighborhood.

The implementation phase is the time—particularly when engaging in mobilization work—that you will be educating communities, increasing their knowledge, and reaching out to areas that have environments in which alcohol use is a problem. Capacity building is an ongoing challenge, not something separate and apart, that needs to be integrated into your coalition’s day-to-day work.

Recruit Allies

After you research the underlying causes of your issue, identify potential allies—people or groups that have the same interests—to help your cause. Allies may have capacity or resources that they are willing to share in the interest of achieving a common goal. The more people or groups you recruit to advocate for an issue or goal, the more likely the community and those you want to change are to pay attention. (At this point, you can refer back to the “Matrix of Potential Partners” that you completed on p. 14 of Nebraska’s SPF Capacity Toolkit #1: Developing Strong Membership. This tool provides a useful method for identifying potential allies. You may want to add additional allies to your earlier work based on your latest knowledge and experience.)

The easiest way to find allies is to ascertain who is already working on the same or similar issues and who might be interested in becoming involved. Even if you do not agree with them on all aspects of the problem, a collaborative effort could still be of tremendous help to everyone.

As you develop a list of possible allies, you may find that you have so many that you need to rank and prioritize them by how much influence they might bring to your coalition. Potential allies have different levels of power or ability to effectively help you achieve your goals.

The following table will help clarify the power(s) a potential ally may bring to your group, and thereby help identify which allies will be the most valuable to your group.

Recognizing Valuable Allies		
Type of power	Rational	Example
<u>Members</u> : How many members does the group have?	The more members a group has, the less likely it is to be ignored.	A group with 500 members shows up at a city/county meeting.

<u>Money</u> : Will they donate money to your issue?	Donated money and other resources are a welcome addition to help achieve your goals.	The local teacher's union donates money to your coalition.
<u>Credibility</u> : Do they bring special credibility?	A group with strong positive recognition in the community will help bring credibility to your coalition.	A respected clergyman from a local church speaks on behalf of your coalition's work.
<u>Appeal</u> : Do they have special appeal?	Being connected to groups with universal appeal can help your image.	A poster child is used to promote an emotional response.
<u>Network</u> : Are they part of a large, organized network?	A group connected to other groups in its network will have financial resources, credibility, and some political power.	The local chapter of the United Way offers staff support to your group.
<u>Reputation</u> : Do they have a reputation for toughness?	Groups with a tough reputation may discourage opponents.	The local law enforcement officer's union says they will support policy changes for improved enforcement.
<u>Skills</u> : Do they have special skills?	An ally may bring technical, business, or legal skills to your group.	A local law firm donates free (pro bono) legal support.
<u>Newsworthy</u> : Are they particularly newsworthy?	Some groups have connections or a reputation to media that might bring positive media attention to your issue.	An activist group for children's rights that recently won a major victory offers to provide technical support.

Know the Opposition

In addition to recognizing allies, it's also important to identify the individuals, groups or organizations likely to oppose your work before you implement your campaign. That way you can anticipate the type and degree of opposition you may encounter and effectively direct your resources toward defeating your opponents. In short, identifying adversaries and anticipating their opposition should increase your chances of success.

Ask yourself these five questions (from the Midwest Academy Strategy Chart, at <http://www.seac.org/sog/page65.html>):

1. Who are your opponents?
2. What will your victory cost them?
3. What will they do or spend to oppose you?
4. How strong are they?
5. How are they organized?

Direct Action Campaigns

At this point, the coalition will be looking at how it can best get the issue noticed by those who have the power to help. The advocacy work your coalition engages in may take several forms that can be used together or alone.

You may decide to conduct a direct action campaign. This type of advocacy can involve:

- Writing letters to elected officials;
- Filing a complaint;
- Seeking enforcement of existing laws or policies;
- Persuading decision makers;
- Conducting a petition drive;
- Registering voters;
- Conducting a public hearing;
- Organizing public demonstrations;
- Initiating a legal action; and/or
- Organizing a boycott or strike.

Media Advocacy Campaigns

Or, your coalition might decide to undertake a media advocacy campaign that includes:

- Working with the media;
- Cultivating relationships with the media;
- Creating news stories the media will use;
- Using paid advertising; and/or
- Changing the media's perspective on community issues.

Or, you could implement a direct action campaign with a media advocacy component.

A Few Things to Remember About Being Advocates

Whatever form of advocacy you choose to follow, keep a few things in mind:

- **Frame the Issue:** Framing is a method of structuring or presenting a problem or an issue in a way that explains and describes the context of the problem in order to gain the most support from your audience. When framing an issue you should be specific—who is involved, what factors contribute to the problem, and what the solution is. Successful framing puts your coalition in a good position to guide the discussion of the problem.
- **Never Rest on Your Laurels:** Undertaking advocacy on difficult issues tends to be a lengthy, incremental process. Once you have achieved some success, you need to remain vigilant. Remember, any policy or law passed can be changed, watered down, or eliminated by determined opponents. The only way to ensure that your issue remains on the “front burner” is to plan to engage for the long term, and put monitoring systems in place.

Getting the Word out to the Community

Your coalition is working on or has created something of value to benefit the community. So how do you get the word out to the people you are aiming at—and beyond—so that the community can make the most of the long-term benefits of your initiative? Here are some ideas.

- Look at what you have accomplished and what you have not, re-examine the mistakes you may have made along the way, get a good idea about where you are and where you are going, and communicate this to your audience. If you want more community involvement, make that clear.
- What publicity have you received so far? How can you let more people know about what your coalition is doing? A coalition has many options when it comes to the best ways of getting the message out to raise awareness. An organization may consider using publicity by press releases, arranging news and feature stories, approaching editorial boards, preparing guest columns and editorials, arranging a press conference, coordinating with national awareness weeks/months, and/or conducting community forums on the topic.
- Depending on your audience, you may want to put flyers on cars around the city, advertise in the newspaper or on radio, orchestrate a media event, or even arrange a press conference to proclaim the existence of your program or initiative. Depending on your budget, you also can create blogs, podcasts, Webcasts, and/or special promotions like bumper stickers.

The Seven “Ps” of Policy Change

1. **Preparation**, including doing all the necessary research and becoming expert on existing policies;
2. **Personal contact** with policy makers, other change agents, and anyone else you have to deal with;
3. **Pulse of the community**, which is about knowing the community's attitudes, what citizens will accept, where to start in order to be successful;
4. **Positivism**, or putting policy changes and their outcomes in a positive light.
5. **Participation**, including everyone affected by or concerned with the issue in planning and implementing policy change;
6. **Publicity** for your effort in general, and for your suggested policy changes, and the reasons for them, in particular;
7. **Persistence** in monitoring and evaluating your actions, and keeping at it for as long as necessary.

Support Policy Change With Enforcement

All the hard work you put into getting a good strong policy passed can become wasted energy if the policy is not enforced. Many factors contribute to enforcement problems for new or existing policies. For example, the agency charged with oversight may lack the resources to investigate or pursue violations, or it may not know about violations, or it may be pressured by powerful interests to overlook violations.

If your coalition has been involved in passing a new policy, you already know which governmental body, agency, or other organization you need to work with to ensure the policy is enforced and violations are addressed. Ideally, the entity charged with enforcement not only was involved in getting the policy passed and fully supports the new policy, but has been working closely with the coalition to create an enforcement plan.

If, on the other hand, your coalition wants enforcement of an existing policy, then you first need to identify the entity responsible for enforcing those laws or regulations. Laws are not always enforced at the level at which they were passed—some federal laws are enforced at the state level, or state laws at the local level. Until you do the research, it may not be clear which agency has jurisdiction, or why the policy is not being enforced.

Getting Policies Enforced:

- Learn about the law or regulation that is not being enforced;

- Get background information about how the issue is affecting the community;
- Become familiar with the structure and operation of the violator as well as of the regulatory body;
- Identify specific individuals in the violating and regulatory organizations with whom it would be the most effective to negotiate;
- Report the violation or file a formal complaint to the appropriate regulatory body;
- Apply public pressure;
- Take direct and/or legal action;
- As with any advocacy activity, you need to maintain vigilance even after you have achieved your goal to be sure that enforcement continues.

A Word to Nonprofits About Advocacy and the Law

Not surprisingly, seeking to change the environment where alcohol abuse problems occur often involves advocating for legislation to change or create public policy. It is critically important to understand, and abide by the rules that govern allowable behavior related to advocating public policy. However, advocates—your coalition partners, and especially non-profit organizations—should not be intimidated by these rules.

Advocacy is:

- One of many possible strategies or ways to approach a problem;
- Active promotion of a cause or principle;
- A process involving actions that lead to a selected goal;
- An approach to use as part of a community initiative, along with other components.

Advocacy is not:

- Direct service to individuals, and
- Does not necessarily involve confrontation, conflict, or lobbying.

Advocacy can be one of the most effective public health strategies. Not using this strategy because of fear based on lack of understanding of the law could unnecessarily restrict your effectiveness as a community change agent.

Knowledge is power! Public health advocates working in nonprofit organizations can use this strategy effectively and legally by learning about the laws that govern advocacy for nonprofits. Remember, many forms of advocacy do not constitute lobbying as

defined by the Internal Revenue Service (IRS). (For more information on advocacy and lobbying, see CADCA's Strategizer #31, Guidelines for Advocacy: Changing Policies and Laws to Create Safer Environments for Youth, at <http://www.cadca.org/CoalitionResources/PP-Documents/Strat31Lobbying.pdf>.)

Lobbying

Lobbying is the practice of trying to persuade legislators to propose, pass, or defeat legislation or to change existing laws. Nonprofit organizations need to keep an account of their lobbying activities for IRS reporting purposes but any entity that receives federal funds needs to be aware of separate restrictions on that money. A provision of the U.S. Code known as the Byrd Amendment *prohibits the use of federal funds to lobby*. Any matching money that the organization raises to obtain federal funding comes under the same prohibition as the federal money itself. This prohibition was enacted under the theory that federal money should not be used to lobby Congress in an attempt to ensure a steady stream of federal money.

The prohibition on lobbying activities under the Byrd Amendment is simpler—and broader—than the reporting requirements under IRS regulations for nonprofits. Quite simply, no one can engage in any direct or grassroots lobbying with federal money. Organizations that accept federal money can lobby with other funds, but they cannot use government funds to lobby federal or state legislatures or executive branches. They can, however, lobby at the local level with the federal money.

Examples of Activities That are NOT Lobbying¹:

- Meeting with a legislator to talk about a social problem, without mentioning a specific legislative proposal;
- Providing a legislator with educational materials about a specific piece of legislation, without calling for specific action on the legislation;
- Responding to a request from a legislative committee or subcommittee for information about a specific piece of legislation;
- Publishing and distributing a newsletter to your own membership providing information about a specific piece of legislation, your organization's position on the legislation and the names of legislators who support and oppose the legislation, but not a specific call to action (e.g. a request to call or write to legislators);
- Tracking activities of legislators, including votes, positions taken, contributions accepted, etc.;
- Producing and disseminating research reports or studies that provide

¹ Source: CADCA's Strategizer #31, Guidelines for Advocacy: Changing Policies and Laws to Create Safer Environments for Youth, which can be accessed online at: <http://www.cadca.org/CoalitionResources/PP-Documents/Strat31Lobbying.pdf>.

nonpartisan analysis on policy issues, including specific legislative issues.

- Talking to the media about specific legislative proposals;
- Advocating for better enforcement of existing laws, e.g., those that control alcohol sales to minors;
- Advocating the enactment and enforcement of "private or voluntary policies, e.g. alcohol purchase restrictions in stadiums;
- Conducting public education campaigns to affect the opinions of the general public, e.g. a mass media educational campaign about the importance of not providing alcohol to minors.