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# TECHNICAL REPORT

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## Preventing Underage Drinking

Using Getting To Outcomes™ with  
the SAMHSA Strategic Prevention  
Framework to Achieve Results

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Supported by the Substance Abuse and Mental Health Services Administration

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# PREFACE

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Near the end of 2006, Congress passed the Sober Truth on Preventing Underage Drinking (STOP) Act. It passed by a unanimous consent vote in the Senate on Wednesday night, December 6, 2006, and the following morning by a voice vote in the House. This is one of many indications that underage drinking is a priority at national, state, and community levels. One of the more effective ways to reduce underage drinking is to use *environmental strategies*, defined as strategies that impact alcohol access and availability, policy and enforcement, community norms, and media messages. While research has created an evidence base of environmental strategies, more guidance is needed to implement those strategies with quality. This book presents a practical “how-to” that can help states and communities prevent and reduce underage drinking. It does this by synthesizing the research on environmental strategies and providing descriptions of how to plan, implement, and evaluate 10 environmental strategies with the strongest evidence base.

Funding for the research in this book was provided by the Center for Substance Abuse Prevention of the Substance Abuse

and Mental Health Administration. The book uses the Getting To Outcomes™<sup>1</sup> accountability approach as an operating system for the SAMHSA Prevention Framework. The book is a companion to another RAND Corporation document: *Getting To Outcomes: Promoting Accountability Through Methods and Tools for Planning, Implementation, and Evaluation*, by Matthew Chinman, Pamela Imm, and Abraham Wandersman, which is available at

[http://www.rand.org/pubs/technical\\_reports/TR101/](http://www.rand.org/pubs/technical_reports/TR101/).

Funding from the Centers for Disease Control and Prevention (CDC) has shown that use of the GTO model can improve individual capacity and program performance to facilitate the planning, implementation, and evaluation of prevention programs. In that research, the GTO manual was supplemented with training and technical assistance. Similarly, it is recommended that this manual be supplemented with training and technical assistance where possible to achieve the maximum impact on underage drinking.

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# SUMMARY

Underage drinking has become a significant problem in the United States. For example, alcohol is the primary contributor to the leading causes of adolescent deaths (NIAAA, 2003). The purpose of this guide is to help communities through a systematic process of planning, implementation, and evaluation that will improve results in reducing and preventing underage drinking. The overarching framework for this guide is the Strategic Prevention Framework (SPF) developed by the Substance Abuse and Mental Health Services Administration (SAMHSA). The SPF is a five-step approach to prevention that encourages comprehensive assessment, planning, and evaluation. In the SPF, there is a strong emphasis on integrating community needs with evidence-based practices in a manner that respects cultural diversity and promotes sustainability.

In this guide, the Getting To Outcomes (GTO) model is the operating system for how to “work” the SPF. GTO is based on established theories of traditional evaluation, empowerment evaluation, results-based accountability, and continuous quality improvement. The original GTO manual—*Getting To Outcomes: Promoting Accountability Through Methods and Tools for Planning, Implementation, and Evaluation*—was designed for classroom-based prevention programs. It established a participatory process that built practitioners’ prevention capacity, empowering them to address all aspects of planning, implementation, and evaluation. The current guide tailors the GTO model specifically for environmental strategies shown to be effective in tackling the problem of underage drinking.

This guide is designed to provide information on how a community can utilize the SPF to address issues related to underage

drinking by answering the 10 GTO accountability questions. These 10 questions lay out actions to take when planning a high-quality underage drinking prevention strategy. Table 1 provides an overview of the information covered in each chapter. Specifically, each chapter includes

- suggestions/ideas on how to answer the accountability question
- a summary checklist for each question
- a case example of how a real community addressed the accountability questions. This helps demonstrate how communities can use the accountability questions in their work.

This guide also has an extensive set of Appendixes. Among other resources, these Appendixes contain worksheets and tools to plan, implement, and evaluate most environmental strategies. These worksheets and tools can be customized for individual communities.

A majority of the Appendixes consists of “examples” corresponding to 10 environmental strategies that have the strongest evidence base. In each example, there is a brief research summary and additional text that describes issues related to planning, implementing, and evaluating the strategy. Each example also includes sample copies of the tools, partially completed, to help facilitate the community’s work. In some examples, there are additional worksheets and forms that can be used, including sample ordinances, sample letters, and ideas for a policy journal.

**Table 1. Overview of the 11 Chapters**

Chapter	The Chapter Provides Guidance on How...
1	...communities can get organized and begin to better understand their needs regarding underage drinking.
2	...communities can conduct an assessment of the underlying needs and conditions that must be addressed to reduce underage drinking.
3	...to develop goals and objectives based on the identified needs.
4	...to assess the current level of capacity and how to enhance that capacity to reduce underage drinking.
5	...to choose the most appropriate evidence-based environmental strategies. Written by Join Together, this chapter presents the evidence base for 10 environmental strategies that are effective in reducing underage drinking.
6	...to assess the current “fit” within the community context of the strategy chosen and how to enhance that fit.
7	...to develop a plan for reducing underage drinking.
8	...to conduct a process evaluation of the underage drinking prevention strategy.
9	...to conduct an outcome evaluation of the underage drinking prevention strategy.
10	...to conduct a continuous quality improvement process.
11	...to sustain successful underage drinking prevention strategies.



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This publication was written by Pamela Imm, Matthew Chinman, Abraham Wandersman, in collaboration with Join Together. Reviewers and editors offering their opinions and guidance were Mary Lynn Batson and Sandra Burton. Art direction and publication format were provided by Elizabeth Balber who went above and beyond to have this guide completed by our deadline. Each of our partners was instrumental in producing a high-quality product that will benefit our field of prevention.

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# INTRODUCTION

## RECENT STORY

Dana P. is one of the few adults to go to jail for a tragedy that began with the crime of allowing minors to drink in her home.

But she's obviously not the first mother or father to allow kids to drink at home—even to excess—and that's the hardest issue the rest of us need to confront. What are we going to do about it now? It's got to stop.

How many parents whispered, "There but for the grace of God go I" as they read about Mrs. P. being sentenced to four months in jail after pleading guilty to involuntary manslaughter? The crime: She provided the vodka to teens at her home that led to the alcohol poisoning death of 16-year-old Michael D. What began as one more night of minors partying ended with a tragedy that has forever wounded two families.

All that needed to transpire in court took place: Mrs. P. admitted guilt, received a just sentence and wept the tears any mother in her place would have wept. Mr. D., the heart-broken father, spoke with grace, saying that his family sought not vengeance but justice. Mr. D. and prosecutors spread the message of the day beyond this one tragedy: "This attitude of knowingly allowing, or enabling, underage drinking has got to stop," Mr. D. said, "or more families will suffer and more kids like our son Michael will die."

The warning and what can happen when we don't pay attention to it has been laid at our doorstep. When it comes to kids and drinking, don't turn your back. Say no. (Ken Garfield, *Charlotte Observer*, 08/05)

### Purpose of This Guide

The story from the *Charlotte Observer* highlights tragic circumstances that impact families and communities in ways that are life changing. Cultural norms, policies, and conditions that accept or promote underage drinking exist in most communities in the United States. The purpose of this guide is to help communities through a systematic process of planning, implementation, and evaluation that will improve results in reducing and preventing underage drinking.

Since research indicates that altering environments where alcohol is used reduces alcohol use (e.g., underage drinking and driving), this guide is focused on the evidence-based *environmental approaches* to preventing underage drinking that a community might implement. Although specific prevention programs (e.g., school-based programs) may help to combat underage drinking, a comprehensive plan that includes environmental strategies is necessary to achieve community-wide and sustained results. Research shows that policies that change the context

of the environment, limit access to alcohol, and prevent harmful behavior will result in a reduction in alcohol use, including underage drinking (COSMOS, 2004).

### Why Should People Care About Underage Drinking?

The question is frequently asked, "Do alcohol laws and regulations actually make any difference in preventing or reducing underage drinking?" Often, it seems that they do not, because many teenagers drink regularly. In addition, many parents and older siblings believe that drinking is a "rite of passage" for youth and, in some cases, they actually provide alcohol (e.g., kegs of beer) for the parties. As one parent reported, "If there isn't any beer at the house, no one will come to my daughter's prom party!"

So why is underage drinking a problem? Should we really worry so much about this "rite of passage"? In a word, yes. Alcohol is the primary contributor to the leading causes of adolescent deaths (NIAAA, 2003). Between 12 percent and 20 percent of all the alcohol consumed in the United States is drunk by people who are legally too young to drink at all and there are real, preventable, negative consequences (Foster et al., 2003). For many people, the heaviest drinking period in their life is before they reach the age of 21. Some youth will emerge in their twenties, reduce their drinking, and be fine. For others, drinking will lead to injury or death, sexual assaults, violence, and diminished life chances. Recent research shows that over 95 percent of the adults in the United States who are alcohol-dependent started drinking before they were 21 years of age (SAMHSA, 2004).

There is strong evidence that the earlier in life a person starts drinking alcohol, the more likely he or she is to have alcohol-related problems throughout life, including repeated episodes of alcohol dependence, higher rates of injuries, and lower levels of academic and job achievement (NIAAA, 2003). There is also recent research indicating that alcohol, tobacco, and illicit drugs act differently on developing adolescent brains than they do on fully mature brains. For some, early use of alcohol, tobacco, and illicit drugs may actually change brain development in long-lasting and detrimental ways (Institute of Medicine, 2004).

The elements of the brain that encourage impulsivity and risk-taking develop early, while the portions of the brain that improve self control and inhibit impulsive behavior do not fully emerge in most of us until the very late teens or early twenties (Spear, 2002). This mismatch in development happens just as young people enter a series of tumultuous social transitions, moving beyond the immediate family environment into new social contexts. These powerful biological and social forces may demonstrate why individually oriented alcohol and drug education programs alone have only limited impact. These

**We need all the help we can get through effective policies and practices to shape the environment and circumstances in which young people drink.**

programs are not influential enough or given in heavy enough doses to offset what is actually going on in teens' development and lives. The rules and expectations they face are often unclear and opportunities and pressures to take risks are everywhere. Our role as parents and community leaders is to guide adolescents through this very risky period in their lives so that they emerge healthy and safe upon maturity.

Effective environmental strategies target four key areas that influence alcohol problems: access and availability, policy and enforcement, community norms, and media messages (Marin Institute, 2005).

### What Can We Learn from Patterns of Underage Drinking in Other Countries?

Some people argue that the legal drinking age of 21 is in itself one of the causes of underage drinking because alcohol is the "forbidden fruit." They believe that if the country took a more "reasonable" approach and alcohol were a more accepted part of teen life, there would be less underage drinking. This has even encouraged some parents to sponsor keg parties and take away car keys with the intention of keeping their children safe while they drink.

The facts from Europe, where drinking by children is often part of family meals and the legal drinking age ranges from no legal minimum drinking age to 20, do not support the assertion that having a minimum drinking age is a cause of underage drinking in the United States. The underage binge drinking

rate in the United States is in the middle of the range of all European countries, and it is lower than in the countries that have the lowest legal ages (OJJDP, 2003). Far too many teens in both the United States and Europe engage in risky binge drinking, but the problem will not be addressed by lowering the legal drinking age. In fact, when the legal age is lowered, the consequences of underage drinking worsen.

New Zealand, though it has no minimum drinking age, lowered the legal age to purchase alcohol from 20 to 18 in 1999. Since then, the rate of alcohol-related traffic crashes among 18- and 19-year-old males has increased by 12 percent. To make matters worse, the rate of alcohol-related crashes among very young male drivers, between ages 15 and 17, has gone up by 14 percent as well, in part because they now have easier access to alcohol through their older friends. Rates among adolescent females rose even more sharply, by 51 percent among those ages 18 and 19 and by 24 percent among those ages 15 to 17. Injuries requiring hospitalization increased at similar rates among these age groups as well (Kypri et al., forthcoming). In May 2005, the New Zealand Parliament started to debate raising the legal purchase age back to 20 to stop the bloodshed. This empirical data, in combination with tragic stories like those described in the introduction, suggest the need to develop and implement effective strategies for preventing underage drinking rather than provide conditions that make it possible to condone underage drinking.

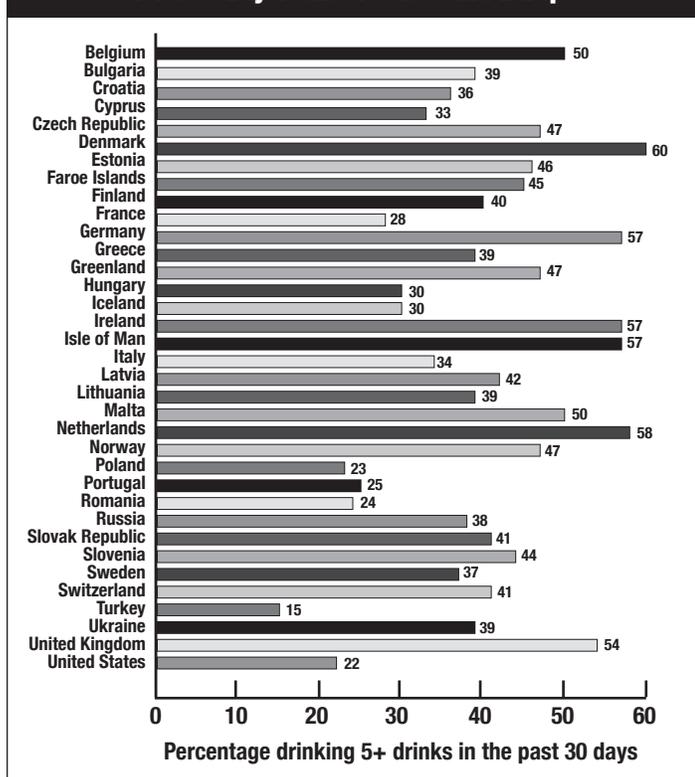
### Using the Strategic Prevention Framework (SPF) to Address Underage Drinking

The overarching framework for this guide is the SPF developed by the Substance Abuse and Mental Health Services Administration (SAMHSA). The SPF is a five-step approach to prevention that encourages comprehensive assessment, planning, and evaluation. In the SPF, there is a strong emphasis on integrating community needs with evidence-based practices in a manner that respects cultural diversity and promotes sustainability. The need for an overarching SPF that is applicable to many areas (e.g., substance abuse prevention, HIV/AIDS prevention, youth violence prevention) was influenced by several factors related to prevention research:

- Prevention is a continuum and, therefore, systems of prevention are more effective than individual "silos."
- Data from all service systems should inform planning and promote accountability.
- Effective prevention initiatives should be targeted at causal factors that contribute to the problem behavior(s).
- Effective prevention involves the integration of evidence-based models, as well as the promotion of innovation.
- A comprehensive framework that includes all elements of effective planning, implementation, and evaluation will help to produce results and promote accountability.

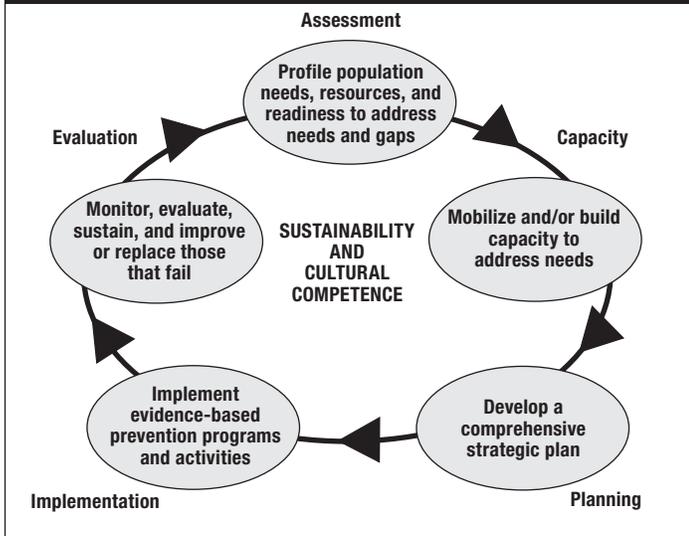
One apparent feature of the SPF model is that cultural competence and sustainability are placed in the middle (see Figure 2). This is because these two aspects of strategic planning are "central" to each of the five steps. While working through the SPF in this guide, there are prompts in the checklists at the end of each chapter to ensure that communities have incorporated issues of

**Figure 1. Prevalence of Heavy Drinking in the Past 30 Days: United States and Europe**



SOURCE: Johnston, L. D., O'Malley, P. M., Bachman, J. G., & Schulenberg, J. E. (2004). *Monitoring the Future National Results on Adolescent Drug Use: Overview of Key Findings, 2003*. (NIH Publication No. 04-5506). Bethesda, MD: National Institute on Drug Abuse.

**Figure 2. SAMHSA's Strategic Prevention Framework Steps**



multiculturalism and have looked forward to issues related to sustainability. Several of the chapters in this guide begin with real-life examples that depict each of the steps in the SPF.

**The Importance of Cultural Competence.** A commitment to cultural competence ensures that there is respect for the complexities of multiple cultures in communities. Cultural sensitivity and responsive prevention strategies are critical to the success of any comprehensive community plan. It is important to remember that cultural competence is not just about racial and ethnic identities but also includes diversity in the areas of gender, geography, disabilities, language, and sexual orientation. Acknowledging that cultural differences exist and have an impact on the delivery of prevention strategies is critical for success. This requires that community groups ensure that the structure, leadership, activities, and messages reflect many perspectives, styles, and priorities. In most cases, the best way to understand cultural groups and subgroups is to meaningfully include those who are part of different groups and subgroups.

**The Importance of Sustainability.** A broad definition of sustainability is the “continuation of community health and/or quality of life benefits in a community over time” (Shediach-Rizkallah & Bone, 1998). This definition is well suited for the SPF because it implies the sustainability of healthy outcomes (e.g., reduction in youth DUI rates), as well as the sustainability of community programs, policies, and practices. As communities work through the SPF and examine their data, it will become increasingly clear that not all strategies and activities should be sustained. Regardless, one common recommendation to promote sustainability is to begin planning for it early. In addition, it is important to have positive results if there is an effort to apply for grant money through federal, state, and local agencies or private foundations. Fortunately, utilizing environmental approaches to prevent underage drinking has relatively few monetary costs, since most of the strategies are policy-related (e.g., laws to reduce alcohol outlet density, laws to enact a keg registration policy, etc.).

### Getting To Outcomes: A User-Friendly Approach to Promoting Accountability in the SPF

In this guide, the Getting To Outcomes (GTO) model is the operating system for customizing the SPF. Based on established theories of traditional evaluation, empowerment evaluation, results-based accountability, and continuous quality improvement, the manual, *Getting To Outcomes: Promoting Accountability Through Methods and Tools for Planning, Implementation, and Evaluation*, includes a participatory process that builds practitioners’ prevention capacity, empowering them to address all aspects of planning, implementation, and evaluation (Chinman, Imm, & Wandersman, 2004; Chinman, Early, et al., 2004; Chinman, Imm, Wandersman, et al., 2001; Wandersman, Imm, et al., 2000).

The original GTO manual was written for drug-free community coalitions as a tool to help bridge the gap between research and practice (Wandersman, Imm, et al., 1999). The model utilizes accountability questions for communities to address while going through the SPF. In this guide, the following 11 accountability questions are presented:

- How can we organize the community to profile community needs and resources regarding underage drinking? (Community Mobilization)
- What are the underlying needs and conditions that must be addressed in the community to reduce underage drinking? (Needs and Resources Assessment)
- What are the goals, target populations, and desired outcomes for the community? (Goals)
- What capacities need to be strengthened to develop and implement a plan to reduce underage drinking? (Capacities)
- What evidence-based, environmental strategies will be useful in helping to achieve the goals? (Evidence-Based Strategies)
- How will the environmental strategies to reduce underage drinking “fit” within the community context? (Fit)
- What is the plan for reducing underage drinking? (Plan)
- How will the implementation of the underage drinking plan be assessed? (Process Evaluation)
- How well are the strategies working in the comprehensive plan to reduce underage drinking? (Outcome Evaluation)
- How will we ensure that the strategies to reduce underage drinking improve continuously over time? (Continuous Quality Improvement)
- If the underage drinking plan is successful, how will it be sustained? (Sustain)

By addressing each of these questions, communities are more likely to demonstrate accountability because all of the elements of effective planning, implementation, and evaluation are integrated into the questions. The accountability questions can be useful at any stage in a community’s work. Once a community determines where to “start” in the process, it should continue with the remaining accountability questions to ensure the likelihood of achieving positive results. Since community processes are continuous and the SPF is ongoing, reviewing tools/answers in the preceding questions will help determine whether important tasks were omitted or any changes need to be made to the strategic plan.

**Table 2. Crosswalk Between SPF Steps and GTO Accountability Questions**

Model	Step and Corresponding Question				
SPF	SPF 1 Organize the community to profile needs and resources	SPF 2 Mobilize the community and build capacity to address needs	SPF 3 Develop a comprehensive strategic plan (strategies, activities, and programs)	SPF 4 Implement evidence-based strategies, activities, and programs	SPF 5 Monitor, evaluate, sustain, and improve or replace those that fail
GTO Accountability Questions	Community mobilization Organize the community Needs and resources assessments	Goals  Capacities	Evidence-based strategies Fit Plan	Process evaluation	Outcome evaluation Continuous quality improvement (CQI) Sustainability

**Crosswalk Between the SPF and Accountability Questions**

Table 2 depicts the “crosswalk” between the SPF steps and the accountability questions showing how the accountability elements can be utilized to customize the SPF. With both the SPF and the accountability questions, it is important to realize that these processes are described in a linear manner, but there will be times when community groups will go “back and forth” between the steps. For example, it is likely that capacity is being assessed and strengthened during all SPF steps. And, at times, it may seem that the group is doing all five steps at one time. While there is a need to make progress on moving through all of the steps, be less concerned about doing each of them in sequence and more concerned about doing each of them in a high-quality manner. Addressing all the components in each of the accountability questions will help to ensure quality planning, implementation, and evaluation throughout the SPF.

**Format of This Guide**

There is a general format for addressing each accountability question in this guide. Specifically, each chapter will include:

- suggestions and ideas for answering the accountability question
- a summary checklist for each question
- worksheets and tools for planning, implementing, and evaluating the ten evidence-based environmental strategies in the section called Evidence-Based Environmental Strategies
- a case example of how to address the accountability questions.

This guide is designed to provide information on how a community can use the SPF to address issues related to underage drinking. This guide can be used by novice coalitions as well as those with a great deal of resources and experience in using environmental strategies. Many of the chapters suggest the use of tools and/or forms, which are included in the appendixes. These tools and forms can be customized for individual communities. Some of the chapters, such as Chapter 6, written by Join Together, were designed to provide the most recent information about environmental strategies to address underage drinking. Likewise, Chapter 11 is designed to provide a literature on factors related to sustainability that communities can consider as they

look toward the sustainability of their efforts. The ten examples are resources that communities can utilize as they work to plan, implement, and evaluate their strategies to address the very important problem of underage drinking.

To demonstrate how communities can use the accountability questions in their work, a case study of a community that used each accountability question is presented at the end of each chapter. This case study, the South Carolina Alcohol Enforcement Team (AET), began as a result of the following situation.

**South Carolina Alcohol Enforcement Team**



A female student was hosting a party at her house after the Homecoming football game. A road deputy came upon her house during a normal patrol and noticed that a large number of cars surrounded the house. The deputy called for back-up and entered the house. Tickets were issued to approximately 40 high school students. Some students managed to escape and hid in the woods or got into vehicles and left. A young man, hiding in the woods, called his father on his cell phone to tell him, “The cops have busted the party and I don’t know what to do.” His father told him to stay in the woods and that he would come find him.

On the way to find his son, the father stopped by the local sheriff’s house (in the middle of the night) to tell him that he would make sure he is not elected again and that his deputies should be out catching murderers and rapists, not kids having fun at a party. The sheriff reminded the father that underage drinking is illegal and that his deputies have the duty to enforce laws. Within a few days, the following blindbox advertisement was placed in the local newspaper.

**ADVERTISEMENT**

LEXINGTON HIGH SCHOOL PARENTS:

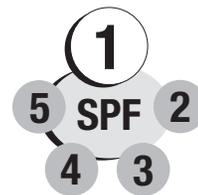
If the Lexington County Sheriff’s Department has charged your child for any alleged violations occurring on Thursday PM September 19, 2002 at Smith Lane during the Lexington High School Homecoming Party, please respond as instructed below:

All concerned parents are meeting to discuss the situation and to decide if action needs to be taken against the Lexington County Sheriff’s Department if any of the students’ rights were violated.

As a result of this incident, a small group of concerned parents, school administrators, teachers, law enforcement and community leaders developed an initial working group that evolved into a larger community coalition to combat underage drinking as a community problem. The community coalition utilized the accountability questions in order to plan, implement, and evaluate their comprehensive plan to reduce underage drinking. In each chapter of this guide, there is a summary of how the coalition addressed each accountability question and used the tools and forms provided.



# STRATEGIC PREVENTION FRAMEWORK STEP 1: ORGANIZE THE COMMUNITY TO PROFILE NEEDS AND RESOURCES



## CHAPTER 1 Accountability Question:

How can we organize the community to profile community needs and resources regarding underage drinking? (Community Mobilization)

In an environment that encourages or allows youth to engage in unhealthy or risky behavior, such as drinking alcohol, it takes an entire community to enact effective and meaningful change. So how do you get a community mobilized? As Philip H. Cass, former Hope for the Future chairperson of a community policy panel said, “It requires a unique public-private partnership to provide the force and direction needed to realize a vision of a healthy and safe place for all youth” (Franklin County Prevention Institute, 1995).

### Community Coalitions as an Avenue for Change

One way to mobilize a community is by building coalitions, defined as “inter-organizational, cooperative, and synergistic working alliances” (Butterfoss, Goodman, & Wandersman, 1993). These working alliances can include individuals and/or organizations. Community coalitions focused on substance use disorders tend to concentrate on community planning, increasing public participation, and changing public policy. These coalitions reported playing an important coordinating role, “bringing together community institutions and residents to develop comprehensive, integrated approaches” (Join Together, 1999, p. 12). Wagenaar et al. (2000) measured youth alcohol consumption before and after a 2.5-year community mobilization intervention and concluded that “community organizing is a useful intervention approach for mobilizing communities for institutional and policy change to improve the health of the population” (p. 85). Community organization is effective because it increases social capital, “the norms, networks, and relationships within a community characterized by cooperation and trust for mutual benefit and gain” (Smith, 1994). As different parts of the community work together, social capital increases.

Mobilizing at the community level requires a variety of activities, including the development of a diverse membership, ongoing mobilization to promote true collaboration, and systematic processes to strengthen community resources and infrastructures. Butterfoss, Goodman, & Wandersman (1993) suggest that community coalitions are selected as mechanisms for large-scale community change for a variety of reasons:

- Coalitions can demonstrate and develop widespread public support for issues, actions, or unmet needs.
- Coalitions can maximize the power of individuals and groups through joint action by increasing the “critical mass” behind a community effort.

- Coalitions can minimize duplication of efforts.
- Coalitions can help mobilize more talent, resources, and approaches to influence specific issues than any single organization can achieve alone.
- Coalitions can provide an avenue for recruiting participants from diverse constituencies, such as political, business, human services, social, and religious groups, as well as less-organized grassroots groups and individuals.

**Coalition Impact on Underage Drinking.** Recent empirical data indicate that coalitions are effective in improving factors related to underage drinking and community health (Roussos & Fawcett, 2000; Wandersman & Florin, 2003). For example, Hingson et al. (2005) evaluated five Fighting Back sites<sup>1</sup> (in Kansas City, Missouri; Milwaukee, Wisconsin; San Antonio, Texas; Santa Barbara, California; and Vallejo, California) that were focused on reducing the availability of alcohol and expanding substance abuse treatment programs. The results demonstrated significant declines in alcohol-related fatal crashes in Fighting Back communities where coalitions concentrated on reducing alcohol availability and increasing alcohol taxes.

While community coalitions can be an effective strategy to mobilize a community around the prevention of underage drinking, they need to be implemented well. It is important to note that having an effective coalition requires that community partners become catalysts for change by implementing evidence-based strategies and innovative methods and continuously recruiting key members who can be influential in the coalition’s efforts (e.g., police department, alcoholic-beverage retailers.) A Join Together survey revealed that successful coalitions share the following characteristics (Join Together, 2005, 1999):

- collaborative leadership styles
- written strategic plan with measurable objectives to reduce, prevent, and treat the targeted problem
- efforts to change public policy
- collaboration with local government officials and policymakers
- active involvement with local governments.

<sup>1</sup>Fighting Back was a program funded by the Robert Wood Johnson Foundation that sponsored 15 communities (between 100,000 and 250,000 residents) in 11 states to combat illicit drug- and alcohol-related problems.

*Note: If your community has not yet organized into a coalition or formalized group, resources for coalition building and community mobilization are included in the References and Other Resources of this guide.*

### **How Can a Community Coalition Proceed? Utilizing Policy Panels to Help Build Consensus About Preventing Underage Drinking**

One strategy that a community coalition might use to develop a comprehensive plan to prevent and reduce underage drinking is to implement a policy panel. A policy panel involves a time-limited process that produces a report with a set of principles and recommendations that can be implemented through media awareness and advocacy. The broad outline of a policy panel, whether at the community, state, or national level, includes developing a briefing paper that organizes relevant data on the issue (e.g., local DUI rates), holding public hearings involving media, and making recommendations (Join Together, 1993). Through these public hearings, a policy panel (1) verifies key problems by reviewing data, (2) considers solutions, (3) develops a consensus of action steps to be taken by panel members, and (4) sets measurement targets. In this case, the overarching goal of the policy panel is to change policy to prevent underage drinking.

The detailed steps to conduct a policy panel are listed in Appendix A (Join Together, 1993). Visit <http://www.jointogether.org/aboutus/policy-panels/> for more details.

One example of a policy panel is described below.

#### **Who to Recruit for a Policy Panel?**

The most important task of the sponsoring organization is deciding on and recruiting panel members. The first steps to recruitment include brainstorming, holding key informant interviews, and making lists of all the types of panelists you hope

for and the people who might fit these roles. It is important to remember to use all of your resources, as one panelist might help you recruit another. For example, Dr. Maria Nieto of the San Diego County policy panel was also on the community college board of trustees and was able to recruit to the panel Augustine Gallego, chancellor of the San Diego Community College District.

In the first correspondence with each potential panelist, consider the following questions:

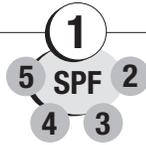
- What problem is being addressed? Why is convening a policy panel the best strategy?
- What is the role of the panelist? Potential panelists are busy; give them a real sense of the expected time commitment and assure them that a structured schedule is used to manage their time effectively.
- What is there to gain from the experience?
- When should they get back to you? Give them a time-frame for a response as to whether or not they will participate.

**Choose a well-known, credible community leader as a chairperson—someone who is accustomed to facilitating, negotiating, and reaching consensus.** For example, a community panel in Ohio on gun violence was chaired by the chief of surgery of a local hospital, a powerful spokesman who was also African American, representing the majority of gun violence victims. A recent Ohio statewide panel on underage drinking was co-chaired by Ohio First Lady Hope Taft and Judge Steven Michael, juvenile court and domestic relationship judge in Jackson County, Ohio. Other examples include a former mayor or governor, a high-profile city council member or judge, and the president of an organization that works closely with the affected communities.

## **COMMUNITY STORY: San Diego County Policy Panel Coalition**

“When somebody can be selling liquor within 20 yards of a grade school, personally, I think that’s horrendous,” said Monroe Trout, the chair and one of many committed members of the San Diego County policy panel on youth access to alcohol (Balint, 1994). This panel, convened in 1994, made recommendations based on the principle that “personal and social problems resulting from underage drinking must be addressed by adults who determine the circumstances in which alcoholic beverages are made available in our society.” The 18-member panel, representing a cross-section of leadership in the region, made 15 recommendations calling for action by both the public and private sectors in the areas of law enforcement, marketing, education, and land use and zoning (San Diego County Policy Panel, 1994). The panel’s recommendations included public information campaigns to promote zero tolerance of youth drinking and driving, a ban on public drinking at all parks and beaches in the city, and discouraging public and private agencies from accepting alcohol industry financial support and sponsorship of sports, recreation, and entertainment events.

The result was the beginning of a countywide initiative on youth access to alcohol. Recognizing that a successful campaign around such a pervasive issue requires a broader effort, the panel members created a coalition guided by their recommendations, with a mission to “prevent underage drinking by changing the social, legal and commercial environments in which alcohol is made available and/or desirable to young people.” Years of dedication have led to the implementation of many of the original recommendations and the achievement of numerous goals. For example, in April of 2003, the San Diego city council passed a social host ordinance that penalizes adults for providing alcohol to minors. As of 2006, the coalition was still active, with over 150 members and several ongoing initiatives, including the Underage Drinking Initiative, Law Enforcement Task Force, Social Access Workgroup, Responsible Beverage Sales and Service Workgroup (RBSS), Alcohol Outlet Policy Workgroup, Alcohol-Free Beaches, and the Youth Council on Underage Access to Alcohol (San Diego County Policy Panel, 2005).



**Panelists should be able to offer insights on the specific issue.** Recruit members whose institution or personal involvement is needed to achieve the policy panel's goals. Your choice of panelists should represent a range of perspectives on the issue. As William Crimi, a prominent community leader, commented, "Think of the unusual suspects." The Franklin Prevention Institute recruited Paula Spencer for its gun violence policy panel. She was a powerful businessperson with a large media consulting company and was actively involved in child abuse issues. She easily saw the connection between gun violence, child abuse, and alcohol use, and became an active spokesperson for the policy panel.

**Choose panelists who are held at a certain level of prestige in the community who may have a significant stake in the issue of youth alcohol use.** For instance, the panel may be composed of a prominent researcher in the field, a grassroots activist, a policymaker, a current or former government official, a member of the consumer group (e.g., a recovering alcoholic), and a member of an affected group, such as a liquor outlet owner or a university official. Other panelists to consider may include a police chief, student leader, parent, school superintendent, and the district attorney. A judge or journalist may also agree to participate in panel discussions but, due to ethical considerations, may choose to take no position on the panel recommendations, as in the Join Together policy panel on Discrimination (Join Together, 2003).

**It is important to recruit new people who might not already be advocates but are nonetheless important members of the community.** In the Santa Rosa, California, policy panel, a member of the wine industry was recruited for the policy panel on youth access to alcohol because the wine industry played an important economic role in the community. The presence of this individual added authority to the recommendations and the issue gained the support of the wine industry (Miranda, 2004). Although recruiting a broad range of individuals adds credibility and wide appeal to the panel's recommendations, it may also lead to compromises and results that the panel conveners may not expect. Keep in mind that this is a democratic process.

See Appendix B for questions to consider when choosing policy panel members.

### Roles of Panelists and Volunteers

**Panelists' Roles During Implementation.** The official role of the panelists ends after the last panel meeting and after the recommendations are finalized. However, panelists often show

continued interest in assisting with the implementation of their recommendations in a number of ways. For example, panelists could

- *Write op-eds or newspaper articles, or meet with editorial boards.* Former mayor of Baltimore, Kurt Schmoke, the chair of Join Together's national policy panel on discrimination, submitted an article, along with a fellow panel member, to the *Baltimore Sun* that was printed on the front page at the same time the report was released.
- *Testify at legislative hearings and speak at conferences.*
- *Disseminate the report to constituents or colleagues at their organizations and workplaces.* Beth Sise, chair of the San Diego County policy panel and director of trauma prevention and physician education and research at Scripps Mercy Hospital, played an important role in educating the trauma community about the policy panel's recommendations.

- *Solicit the help of key constituents.*

Assistant Health Commissioner Theresa Long was a member of a policy round table on youth and tobacco in Ohio. Her position allowed her access to the governor's office, drawing immediate political attention to the recommendations.

- *Draft resolutions to adopt the recommendations in their own organizations.* Several panel members who helped draft recommendations for Join Together's discrimination report in 2003 were also active members of the American Bar Association (ABA).

These panelists helped steer the recommendations through the ABA resolution process. In addition, the ABA sent a letter to Congressman Jim Ramstead, co-chair of the addiction caucus, requesting a congressional briefing on the issue. The same can be done with local legislators who chair relevant committees.

- *Work to sustain the effort.* As mentioned above, the San Diego County policy panel to prevent underage drinking created a broad community coalition to implement the recommendations. Funded by a combination of governmental and nongovernmental sources, the coalition is still active as of this publication (over 10 years later).

**Roles of Volunteers.** Because volunteers come with a variety of skills and backgrounds, they can provide assistance in a number of ways:

- *Testimony:* Volunteers in a coalition aimed to reduce underage drinking are often passionate about the issue for personal reasons, and their stories could become effective testimony.
- *Skills:* Volunteers may come from a variety of professional backgrounds and their skills could be used for a number of tasks. For example, a skilled writer may record the deliberations during panel meetings and the testimony during hearings, and may help write the recommendations. A lawyer or researcher may be helpful in collecting

background information. A journalist could help frame the issues and write feature articles.

- *Information dissemination:* Similar to the panelists' role during implementation, volunteers could provide information about the recommendations to their professional constituents, as well as those in their families, schools, faith groups, and other smaller communities. It is important to give the volunteers a clear, concise message that can be delivered quickly and easily.

### How to Keep Panelists Involved

The panel is a time-limited commitment. Keep each meeting focused by ensuring that every meeting has a goal that is achieved. Keep panelists informed by giving them the relevant background information and briefing them as needed, but use their time efficiently and avoid overwhelming them. You might organize the agenda around strategic questions to help promote interaction and immediately follow up on requests for more information from the panelists. The convener's relationship with the panelists is also important. Barbara Graves, director of the Santa Rosa policy panel, found it helpful that they "developed a strong personal relationship with the panelists so they felt fully engaged when they were working with us." (Miranda, 2004).

### How Do We Know What Works?

When working with a community coalition, a policy panel, or other community group, it is useful to know what types of environmental strategies are the most effective. Clearly, it is important to select appropriate strategies for a comprehensive plan that is based on data that emerge in the assessment processes. It will also be important to incorporate strategies that are consistent with recommendations from national experts (e.g., Institute of Medicine, 2001).

There is a trade-off between the political and financial costs of implementing some of these policies and the impact they can have on reducing underage drinking. Some strategies, such as graduated drivers' licenses, social host laws, and keg registration laws, are fairly new and have not been as widely studied, though all of the strategies discussed in this guide have been researched and have a body of literature suggesting that, as part of a larger plan, they can be effective at reducing underage drinking. More information about each of the evidence-based strategies is in Chapter 5 of this guide. Detailed descriptions for planning, implementing, and evaluating the strategies are provided in the Evidence-Based Environmental Strategies section. Although many of the following strategies are targeted toward reducing availability of alcohol to minors, as part of a comprehensive community plan, they can also help to change community norms, improve policy and enforcement, and promote positive media messages. These strategies are

- responsible beverage service
- alcohol compliance checks
- happy hour restrictions
- reducing alcohol outlet density

- sobriety and traffic safety checkpoints
- Graduated drivers' licensing laws
- social host laws
- keg registration
- restricting alcohol sales at public events
- increasing taxes on sales of alcohol.

### Sustaining the Recommendations of the Policy Panel

A policy panel's recommendations are ideally institutionalized into environmental policies, effective strategies, and/or well-enforced laws. In 1992, Join Together conducted a national policy panel addressing youth access to alcohol, Save Lives, in which the panelists' first recommendation was to reduce the underage legal blood alcohol content to 0.00–0.02. This recommendation was adopted by many states and became national law in 1995.

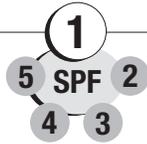
The sponsoring group can keep the community mobilized by emphasizing the importance of implementing the recommendations. Make use of the newly formed partnerships and alliances to get the recommendations implemented. The panel members can lead sustainability efforts by speaking before community forums and holding meetings with key stakeholders. For example, John O'Hair, former prosecutor in Wayne County, Michigan, and member of the Join Together panel on discrimination against individuals with alcohol and drug problems, met with the Michigan drug czar to address how the recommendations could be sustained in the state. Appendix C provides the highlights of one such policy panel to reduce underage drinking.

After the community is organized through a community coalition or development of a policy panel, continue with Step 1 of the Strategic Prevention Framework (Assessment) by addressing the next accountability question.

### South Carolina Alcohol Enforcement Team



Following the prom party where law enforcement became involved, the chairperson of the school district convened an initial group of key stakeholders, including members of law enforcement agencies, teachers, guidance counselors, parents, and members of the local alcohol and drug abuse agency. The group continued to organize by developing a regular meeting schedule, forming subcommittees, and formalizing procedures to become a structured community coalition. This included mechanisms for establishing by-laws, determining membership on subcommittees, conflict resolution procedures, and strategies for communication and coordination. In addition, the coalition recognized that in order to understand the genuine underlying needs and conditions of their school district and surrounding neighborhoods, they needed to begin a formal assessment process.



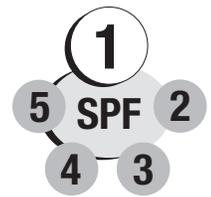
## CHECKLIST FOR ACCOUNTABILITY QUESTION: Community Mobilization

### Make sure the community has...

- Identified a broad and diverse group of individuals and organizations to be part of efforts to reduce underage drinking.
- Worked with the agencies to clarify the roles and responsibilities of each individual or organization in the efforts to reduce underage drinking.
- Assessed issues related to underage drinking and decided whether a policy panel was the best community mobilization strategy.
- Ensured that the policy panel includes key stakeholders representing racial, ethnic, geographical, and other sectors.
- Made logistical arrangements for meetings, decided where they will occur and what the specific goals will be, and ensured adequate staffing and communication.
- Planned for public hearings by publicizing the hearings, identifying appropriate people to testify, and inviting the media.
- Planned for post-hearing discussions: Panelists have narrowed or expanded their recommendations, discussed how they will impact the community, and planned the next steps toward implementation.
- Drafted and published a report with recommendations.
- Disseminated the report.
- Advocated recommendations and other follow-up strategies (e.g., evaluation).
- Ensured that cultural competency was addressed in this accountability question.



# STRATEGIC PREVENTION FRAMEWORK STEP 1: ORGANIZE THE COMMUNITY TO PROFILE NEEDS AND RESOURCES



## CHAPTER 2 Accountability Question:

What are the underlying needs and conditions that must be addressed in the community to reduce underage drinking? (Assessment)

### COMMUNITY STORY: Anytown, USA

In Anytown, USA, law enforcement is typically not involved in any specific efforts to address underage drinking. However, there are problems with youth under age 21 obtaining alcohol from two local retailers. Once the alcohol is obtained, there is an open field that is located behind thick brush, where youth are protected from view. This information has spread quickly around the local high school. When youth are found drinking, officers usually make them pour out the alcohol and go home. Parents do not enforce curfew rules and some even allow youth to drink in their homes. Recently, the school reported that 40 percent of this school year's discipline violations were related to the use or possession of alcohol or some other drug on school property.

Here is what can be concluded from this community example:

- Local merchants need to be educated regarding compliance with alcohol sales laws.
- Property owners, or whoever owns the land where youth are drinking, need to be informed and action must be taken to stop this from happening in the future.
- Youth (target population) need to be exposed to prevention programming and made more aware of the laws and dangers of underage drinking.
- Parents have attitudes favorable toward youth using alcohol.
- Law enforcement's attitude toward enforcing underage drinking laws is not a deterrent to youth who choose to drink.
- Law enforcement could possibly be contributing to youth being charged with driving under the influence (DUI) by allowing them to drive themselves home after being caught drinking.
- The local school is being affected, as indicated by the high number of disciplinary actions being attributed to alcohol and other drug use by students.

From this short example, it is clear that Anytown, USA, has many needs related to youth obtaining alcohol and drinking illegally. As demonstrated in this example, the initial step of

assessing the needs and underlying conditions that contribute to underage drinking will help to guide the choice of which environmental strategies and related policies should be pursued.

### Overview of Needs and Resources Assessments

Conducting a comprehensive assessment of needs and resources will help provide a clear understanding of the underage drinking problem—its underlying causes, primary settings/locations, and for which group of people (potential target population) the problem is most severe. Additionally, it is important to examine the existing resources and assets of the community that can help with promoting policy-level changes.

### Why Is Conducting Needs and Resources Assessments Important?

Data gathered during needs and resources assessments are necessary for the policy panel so that it might develop a briefing paper. Also, needs and resources data allow communities to

- Identify how youth obtain alcohol (e.g., stores, restaurants, parents, older siblings).
- Identify where underage youth most frequently drink (e.g., school events, parties, motels).
- Identify what groups of youth are the most involved in underage drinking (e.g., high school, college students).
- Identify what factors in the community are most associated with underage drinking.
- Assess existing community resources to combat underage drinking.
- Obtain baseline data that can be monitored for changes over time.
- Gather support from stakeholders.

### How to Conduct a Needs and Resources Assessment

There are clear steps to conducting high-quality needs and resources assessments. Following these steps can be useful whether the policy panel decides to conduct the assessment process as a group or hire a professional to lead the process.

1. Convene an assessment committee or work group of members to collect the data. Be sure to include key stakeholders who have access to the data needed (e.g., police, schools, youth, parents, alcohol control agencies, businesses, prevention and treatment providers).
2. Examine what data are currently available to assess the underlying conditions.

3. Determine what data still need to be collected by the group.
4. Determine the best methods to gather the data and develop a data collection plan.
5. Implement the data collection plan.
6. Analyze and interpret the data.
7. Use the data to determine priorities to develop goals and objectives and elect environmental strategies to implement.

**Step 1. Convene an Assessment Committee or Work Group of Members to Collect the Data. Be Sure to Include Key Stakeholders.**

On many policy panels or community coalitions, there are people who enjoy gathering information (or data) and determining the best way to use it. These people may be in academic or research positions or may be eager graduate students who need course credit or experience in data analysis. Whatever the case, determine who would be best to serve on a data collection work group. When forming this group, remember that not everyone has this interest. Once the work group is developed,

- Identify roles for each committee member (e.g., gathering data, developing survey questions, running focus groups, analyzing and interpreting data).
- Document how key stakeholders (e.g., businesses, youth, parents) are involved in the assessment processes.
- Ensure that diverse and hard-to-reach populations are involved.

**Step 2. Examine What Data Are Currently Available to Assess the Underlying Conditions.**

There is a variety of data that are regularly collected (by state and local agencies) that can be accessed by your group. These types of data are called archival data. One potential method for completing this step is to begin with the list of data sources about underage alcohol use (see Appendix D). Begin by contacting your local or state prevention coordinator to determine what existing data are available. This will help determine what data still need to be collected.

Needs and resources assessments vary depending on the breadth and scope of what is to be accomplished. For example, a superintendent may want to assess the issue of underage drinking in a school district or within a specific neighborhood. The focus of a larger community coalition or interagency partnership might require an assessment of an entire neighborhood, community, or several counties. Ideally, the data collection efforts should match the size of the area of interest. If the coalition wanted to learn about underage drinking in a single high school, then state or national data can provide some context but will not be useful in determining the extent of underage drinking in the school. It would be better to collect school-level data, such as the results of a student school survey or numbers of disciplinary problems related to alcohol use.

**Step 3. Determine What Data Still Need to Be Collected.**

After examining what data are available, it becomes clearer which data still need to be collected. Use work group members to brainstorm key data sources and strategies for obtaining

this information. Regardless of what data are easily available, gather information that will help the community answer two primary questions:

1. How do we know that underage drinking is a problem in our community?
2. What factors contribute to the level of underage drinking?

To address the first question, collect data about the amount of underage drinking. As mentioned in Step 2, this data will most likely come from ongoing, existing data collection efforts (e.g., schools, police records). In addition to these mostly quantitative data (i.e., they emphasize numbers), more qualitative data collection strategies (i.e., those that emphasize individual stories and narratives) may be used. Some of these include

- interviews and focus groups with youth, which could provide a valuable context for estimates of the level of underage drinking
- interviews or focus groups with key leaders (including youth themselves), which could be used to assess their perception of the underage drinking problem.

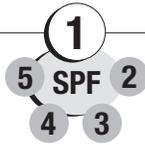
Additional data sources that can be accessed to examine the consequences of underage drinking are

- highway safety data (e.g., youth DUI/DWI arrests)
- liquor law violations (e.g., attempts to purchase alcohol by youth, use of a fake or altered ID)
- suspensions and expulsions from school related to alcohol use
- recreational injuries or deaths in which alcohol was a factor (e.g., boating, biking, climbing).

Combining quantitative and qualitative data will give the best picture about the extent of underage drinking and the consequences of this behavior.

Below are sample data sources that could be examined by the community to answer the second important question, “What factors contribute to the level of underage drinking?”

1. A review of public policies (e.g., laws, regulations) related to alcohol consumption:
  - alcohol advertising in public places
  - alcohol sponsorship of public and sporting events
  - the number of retail liquor establishments, restaurants, and bars allowed in a given area
  - happy hours or other discount promotions of alcohol
  - the sale of kegs (or laws requiring their registration)
  - laws limiting the driving privileges of minors.
2. Surveys or focus groups of youth assessing the ease of access to alcohol (e.g., parents, friends, siblings).
3. Key leader surveys assessing the level of enforcement of underage drinking laws and ordinances (lax law enforcement).
4. Undercover operations or “stings” to assess how easy it is for youth to obtain alcohol from retail establishments (easy access from retail establishments).
5. Community surveys, town halls, or community forums assessing the social norms governing the acceptability of underage drinking (permissive social norms).



6. Environmental scans of the community to assess the level of promotion for alcohol (billboards, happy hours, number of alcohol establishments).

Many of the data collection sources and methods mentioned here are described in greater detail in Step 4.

#### **Step 4. Determine the Best Methods to Gather the Data and Develop a Data Collection Plan.**

Once it is determined what data to collect, identify ways to collect those data. Below are some key points to remember when trying to obtain data from state and local agencies, nonprofit organizations, and the community.

- Get people's buy-in by explaining how the data will be used.
- Get "clout" on your team. People in influential roles can often get access to data that may be otherwise difficult to obtain.
- Offer to share the findings with the group or organization from which you are requesting information.
- Consider "who" is making the request for the data. Many times, more "informal" channels and extended relationships can be extremely valuable (e.g., the superintendent is the neighbor of a member of the policy panel).

The following options may be helpful when considering specific methods and sources for gathering additional data.

#### **Archival Data (Existing Data)**

- *Archival Data:* Various public health and law enforcement departments, such as hospital emergency rooms, sheriffs' departments, state motor vehicle licensing agencies, school systems, and state alcohol control agencies, frequently maintain information related to underage drinking.
- *Census Records:* U.S. Census Bureau data ([www.census.gov](http://www.census.gov)) provide demographic information for the United States. Census data show the number and ethnicity of youth under age 21 and the percentage of the total population they represent. Many states have additional information on their own Web sites.
- *Police Arrest and Court Data:* Police arrest data provide information about crime in various areas of the community and include the types of crimes committed and the ages of the offenders.
- *Motor Vehicle Crash Data:* The National Highway Traffic and Safety Administration (NHTSA) maintains the Fatality Analysis Reporting System (FARS), a Web-based system that allows users to access motor-vehicle crash data online (<http://www-fars.nhtsa.dot.gov/>). The database can be queried to produce reports at the state, county, or city level.

#### **Qualitative Data**

- *Key informant surveys:* Key informant surveys are conducted with those individuals who are important leaders (e.g., mayor, police chief, local pastor) or representatives in their communities. They "know" the community and are likely to be aware of many issues, such as underage drinking (National Institute on Drug Abuse [NIDA], 1997).
- *Community Meetings/Forums:* In this method, various community individuals are invited to a series of meetings and are asked about their opinions and perceptions of underage drinking. Although key leaders are often present, the meetings are held to obtain information from the general public.
- *Case Studies:* A case study method frequently uses information about service recipients (e.g., youth in treatment for alcohol-related problems) to learn more about the service itself and about what other services may be needed (e.g., earlier identification and screening).
- *Focus Groups:* Focus groups may be particularly useful if you need to get information quickly or when you want an opinion from an established group. They are considered an ideal format for getting at the underlying attitudes, feelings, beliefs and behaviors of a group. Besides being more efficient than interviews, focus groups get discussions going that would not occur in one-on-one interactions and are effective in getting participants to identify false or extreme views. In a focus group format, six to 12 individuals convene and answer a predetermined set of open-ended questions posed by a facilitator. While some like to recruit a variety of people for each focus group, it is preferable to convene participants for each group who have similar characteristics, like parents, teachers, youth, or law enforcement officials. There is more information on how to conduct focus groups in *Getting To Outcomes 2004* (Chinman, Imm, & Wandersman, 2004).

#### **Quantitative Data**

- *Service Provider Survey:* Service and treatment providers possess knowledge about the nature of problems in a community, what programs and resources are available, and who is and who is not being served.
- *Client or Participant Surveys:* Clients and program participants are excellent sources of information on what needs are being met and what more should be done.
- *Targeted Population Problem Behavior Surveys:* Self-report surveys completed by those targeted by the initiative (e.g., youth under age 21, law enforcement, judges) provide useful information on their attitudes and beliefs about underage drinking.
- *Resource Asset Mapping:* Mapping of community problems (e.g., locations of liquor outlets, bars or restaurants that repeatedly sell to minors) and community resources (including existing strategies and policies that target the problem) provides information about the conditions that can promote or deter underage drinking.

**Environmental Climate**

- *Environmental Scan:* Appendix E provides a tool to assess how much the local environment promotes the use of alcohol, tobacco, and other drugs (e.g., number of tobacco outlets near schools, number of liquor stores). As with all of the forms in this guide, customize this form to best suit your community needs.
- *Policy Review:* Review key factors that contribute to environments encouraging or discouraging underage drinking, including existing policies. In 2001, NHTSA (<http://www.nhtsa.dot.gov>) published nine community guides that provide a variety of information on assessment processes, including how to assess resources, community assets, and policies regarding underage drinking.

**Data Collection Planning Tool**

Having a clear data collection plan will help to ensure that the data collection process is on track. In general, the key components of a data collection plan are

- community conditions or factors that need to be assessed
- indicators used for measurement
- how and where to get the data
- who is responsible for data collection
- dates by which key tasks are to be completed.

Appendix F is a tool that can be used or modified for data collection. A completed sample of that tool is provided in Table 3.

**Table 3. Sample Data Collection Planning Tool**

Factor to Be Assessed	Indicators to Be Measured	Method for Data Collection	Where Found?	Completed by/Person Responsible
Availability of alcohol to minors	Number of liquor licenses issued  Number of sales to minors	Archival data  Observations/ underage buys	Licensing board	2/1/06 (Mary and Mike)  1/15/06 (ten youths led by Billy and Mr. Smith)
Favorable attitudes toward alcohol use	Survey of 9th graders' attitudes toward alcohol use	Youth survey	Survey developed locally	2/26/06 (subcommittee, point person—Dr. Stone)

In summer 2005, Join Together, with support from the Robert Wood Johnson Foundation, published *How Do We Know We Are Making A Difference?*, a community alcohol, tobacco, and drug indicators handbook that presents specific factors and indicators to be measured and potential methods for tracking progress. It can be obtained through [www.indicatorshandbook.org](http://www.indicatorshandbook.org).

**Collecting Data on Resources**

Methods for conducting a resources assessment vary depending on the scope of the assessment process. In general, it is advantageous to determine what current resources (e.g., existing environmental strategies and policies, coalitions, institutions of

higher education) are available to address underage drinking. It is recommended that the resource information be gathered at the same time the needs data are collected. For example, if convening a group of key leaders to gather focus group data on problems associated with underage drinking, it makes sense to also inquire about the resources available to address the problems. Conducting a resources assessment of what policies currently exist is a good way to begin the resource assessment (refer to the HNTAA community guides mentioned under Environment Climate).

One additional strategy for conducting an assessment of resources is to “map” the location of assets identified in the community. Once assets are identified, they are mapped to portray the quantity, location, and accessibility of the community’s assets. Similarly, geographic information systems (GISs) are software systems used to map specific points of interest (usually by zip code) in an assessment. University-based researchers in geography, urban planning, marketing, and sociology are the best sources of information about GIS tools.

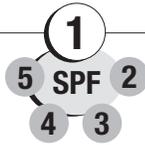
**Step 5. Implement the Data Collection Plan.**

This step is fairly straightforward, but there are some things to keep in mind. First, try to stay true to the data collection plan. If modification is necessary, have a logical reason for doing so. Staying true to the timeline may be the biggest challenge. Second, identify leaders in this process who are organized, good planners, and responsible. It may be necessary to “check in” with them to see how the tasks are progressing and if they need any additional assistance. Third, be a good partner. If you promised a nonprofit agency or a community group that you would share data or partner with them in some way, follow through with that promise. Lastly, remember to collect only the data you will use and use the data that you collect. Gathering data that are not utilized is a waste of valuable time.

**Step 6. Analyze and Interpret the Data.**

This step is probably the most difficult to describe in a guide like this because communities face a wide variety of situations that cannot all be addressed in one document. The complexity (or simplicity) of this task will depend on how well the assessment questions were specified and how much data were collected. While this may be a good place to hire an expert to assist in data analyses and interpretation, consider these general guidelines:

- Archival data (e.g., information collected by agencies, including information about arrests for DUI and businesses cited for selling to youth) have a long time lag, so they may not be current. Therefore, try to corroborate this type of data with other sources of information (i.e., compare how these data relate, or not, to other information).
- Similarly, when confronted by conflicting information between archival data and more subjective data (e.g., what people tell you in focus groups or on surveys), it will be important to explore why there is a discrepancy. Although community residents may know the geographical area best, they still could be biased, for example, by a high-profile event. Understanding why those discrepancies exist will yield important information—that there might



be glitches in archival data and that such data shouldn't be blindly trusted in planning the outcome evaluation or that people are inflating the nature of the problem, suggesting more targeted strategies. One example of a mismatch was when a key informant living in one neighborhood revealed accurately that there was a great deal of drinking and driving among youth in his neighborhood, but the state (or local) data on juvenile DUI arrests was low, not yet showing this growing problem.

- Remember that interpretation of data is complicated. Interpreting data is not an exact science and can be difficult. For example, are DUI arrests rising because there is more drinking and driving or is the enforcement better? In going through this process of interpretation, spend time asking “why” questions, trying to determine why the data suggest certain patterns. Now is the time to convene

community partners and key stakeholders to help make sense of the data.

- The combination of data sources is necessary to get a complete picture of the problem or issue. One single data source is difficult to interpret in isolation. However, multiple sources of both subjective and objective data add greater clarity to the problem, increase accuracy in defining the problem, and instill confidence and common understanding among stakeholders. Where data sources do not suggest similar patterns (e.g., community perceptions of a problem with underage drinking not matching police arrests for underage drinking), then it is important to explore why there is a discrepancy. For example, it would be important to look for reasons why DUI arrests may be low—perhaps it is not a priority area for the officers or perhaps the police are understaffed.

**Step 7. Use the Data to Determine Priority Efforts and to Develop Goals and Objectives and Select Environmental Strategies to Implement.**

This process occurs after a great deal of work is done. That is, data have been gathered and analyzed and it is time to determine specific goals and desired outcomes that will be given

**South Carolina Alcohol Enforcement Team**



One of the first activities of the newly formed South Carolina coalition was to conduct needs and resources assessments in the school district that included input from youth, merchants, and law enforcement.

Members of the local alcohol and drug abuse agency conducted several focus groups of middle and high school youth. One clear result was that alcohol was very easy for the youth to obtain, and they had little fear that law enforcement, their parents, or school administrators would catch them. As a result, law enforcement and local merchants were surveyed to gather some additional information. The results indicated that neither group knew the South Carolina underage drinking laws very well, law enforcement did not believe that enforcing underage drinking laws was really worth their time, and the merchants had little knowledge about how to properly conduct ID checks for alcohol sales. Additional results included the following:

- Approximately 28 percent of minors could buy alcohol in convenience stores in the targeted areas.
- 64 percent of 12- to 18-year-old students said that it would be “very easy” or “fairly easy” to get beer or malt liquor in the targeted areas.
- 65 percent of 12- to 18-year-old students said that it would be either “very easy” or “fairly easy” to get wine or wine coolers.
- 52 percent of 12- to 18-year-old students said that it would be “very easy” or “fairly easy” to get liquor.
- The majority of youth questioned believed that they would be “very unlikely” to be caught by law enforcement for underage drinking.

Results of surveys from law enforcement and local merchants included the following:

- The majority of officers (N=23) answered only 20 percent of the questions about laws related to underage drinking correctly.
- Law enforcement officers rated their superiors as not having a strong commitment to enforcing underage drinking laws.
- Officers perceived that there are inadequate resources for enforcing underage drinking.
- Merchant groups (e.g., bartenders, cashiers) reported a need for additional training in proper identification and the legal responsibility for alcohol sales by merchants.
- Most merchants reported that they would attend a free training on alcohol sales, if offered.

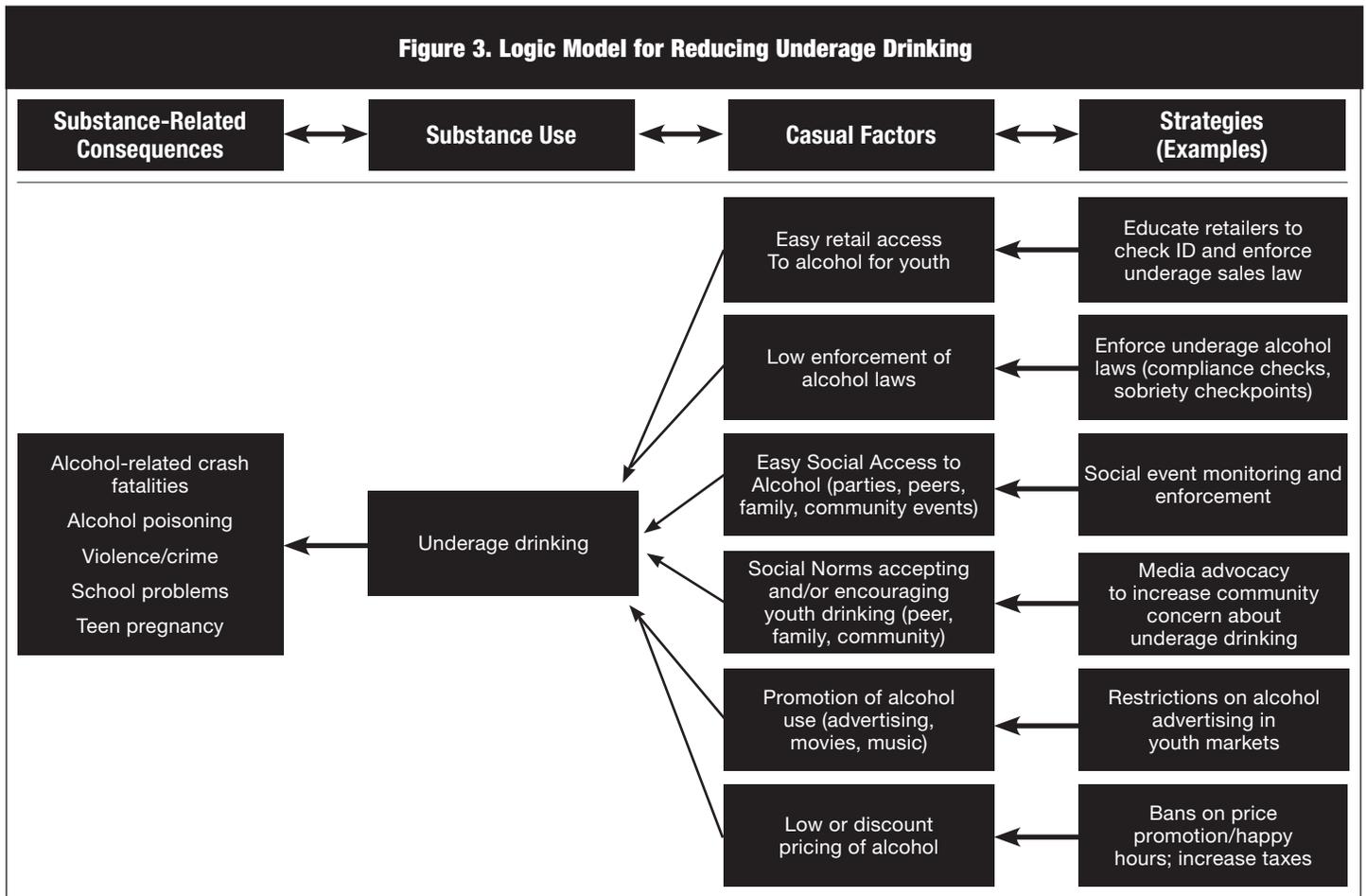
One major resource was the community coalition, which was becoming larger and more representative of the population. In addition, the school board and school district personnel (e.g., school nurse, teachers) were interested in considering what actions the school board might take to address related needs. Law enforcement agencies faced issues regarding jurisdiction, interpretation of laws, and uninformed magistrates. Fortunately, the community coalition was able to secure funding through the South Carolina State Incentive Grant (funded by the Center for Substance Abuse Prevention) to begin addressing the needs identified.

priority for action, knowing that it is impossible (and not recommended) for everything to be done at once.

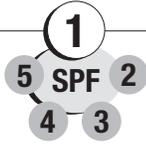
Additional factors to consider when prioritizing the environmental strategies are

- What conditions or factors are major sources of serious consequences?
- What conditions or factors are modifiable or preventable within the timeframe and budget?
- What conditions or factors are easily measurable (based on circumstances) and are not being addressed effectively with other initiatives (determined by the resources assessment)?
- What environmental strategies associated with underage drinking show the greatest likelihood for positive results?

The information collected in the assessment processes for the environmental strategies helps to provide direction toward the most appropriate interventions. For example, if the contributing factors to the problem are mostly in the community domain, then the most appropriate interventions may be merchant education, social marketing campaigns, and strategies that deal with enforcement and consequences. Figure 3 is a logic model graphic from the Pacific Institute for Research and Evaluation (www.PIRE.org) showing how to make linkages between community needs (e.g., problems), contributing factors, and environmental actions or strategies that might be implemented to counter the problem of easy access to alcohol.



SOURCE: Pacific Institute for Research and Evaluation



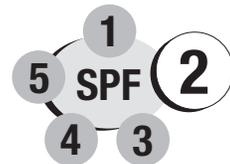
## CHECKLIST FOR ACCOUNTABILITY QUESTION: Assessment

### Make sure the community has...

- Convened a data collection team that includes diverse representation.
- Examined rates of underage drinking and related incidents in the potential target area (e.g., community, neighborhood, college campus).
- Compiled baseline data for the targeted area.
- Begun to identify a potential target population from within the target area whose behavior needs to be changed.
- Clearly articulated the causes and underlying factors within the target area showing what conditions most likely contribute to the problem.
- Conducted a resource or asset assessment determining what resources are already available to address issues related to underage drinking in the targeted area.
- Ensured that the group addressed issues of cultural competency was addressed in this accountability question.



# STRATEGIC PREVENTION FRAMEWORK STEP 2: MOBILIZE AND/OR BUILD CAPACITY TO ADDRESS NEEDS



## CHAPTER 3 Accountability Question:

What are the goals, target populations, and desired outcomes for the community? (Goals)

### Definition of Goals

To ensure high-quality planning, any organization (e.g., policy panel, community coalition) should first establish goals for its work. When planning environmental strategies, goals should focus on conditions that contribute to or deter underage drinking based on the results of the needs and resources assessments. Once goals are clearly defined, it is much easier to identify specific desired outcomes for any environmental strategy

Sample goal statements for the components to prevent underage drinking include

- Decrease accessibility/availability of alcohol by youth under age 21.
- Improve merchants' ability to effectively "card" all underage youth.
- Decrease parental approval of underage drinking as a "rite of passage".
- Increase law enforcement operations related to preventing underage drinking.

### Definition of Target Population

Information obtained from the needs and resources assessments may broadly suggest a certain population to target (e.g., merchants, high school youth), but it is important to be as specific as possible. Sample target populations for the prevention of underage drinking are

- high school students
- parents of high school students
- law enforcement officials
- merchants who sell alcohol.

### Definition of Desired Outcomes

When specifying your desired outcomes, consider how the target population should change as a result of your environmental strategies. Typically, desired outcomes are related to changes in

- *Knowledge*: what people learn or know about a topic (e.g., knowledge of laws about hosting parties where alcohol is available to minors; effective ways for setting limits on adolescents)
- *Attitudes*: how people feel toward a topic (e.g., attitudes of law enforcement officers toward enforcing underage drinking laws, merchants' attitudes toward selling alcohol to minors)

- *Skills*: the development of skills to prevent underage drinking (e.g., ability to correctly "ID" any person; law enforcement's ability to effectively control and disperse an underage drinking party)
- *Behaviors*: changes in behavior (e.g., reduced use of alcohol among high school youth; increased frequency in "carding" those who attempt to buy alcohol).

With environmental strategies, desired outcomes should also be measured at the community level. Sample outcomes for communitywide interventions to prevent underage drinking might include

- increased community awareness about the underage drinking problem
- improved mobilization of law enforcement to enforce underage drinking laws
- changes in policies and laws to control underage drinking (e.g., DUI laws, keg registration, social host liability laws)
- increased cooperation and collaboration among community agencies to support enforcement of underage drinking laws.

When specifying desired outcomes, it is useful to address questions such as

- What should be the short- and longer-term changes in the target population as a result of environmental strategies?
- What changes are reasonable to expect?
- What measures—tests, surveys, or other measuring tools—will be needed?
- Do we have access to these measures (or know someone who does)?

### Why Is Specifying Goals and Desired Outcomes Important?

- Specifying the changes you expect in the target population helps to inform what types of environmental strategies you should potentially select to implement.
- Clearly identifying the particular target population helps to inform what types of environmental strategies may fit with existing strategies or programs in the community.
- Clearly identifying goals and desired outcomes suggests methods that will be useful in evaluation.

## How to Develop Goals and Desired Outcome Statements

**Goals.** When identifying goals, it may be useful to address questions such as

- What are we trying to accomplish?
- What are the desired results we expect?
- How would we like the conditions that facilitate underage drinking to change?

**Target Populations.** When specifying the target population(s), it may be useful to consider some or all of the following questions:

- Who will be the recipients of the environmental strategies?
- Who are we hoping our environmental strategies will change?
- How many would we like to include?
- How will we recruit and retain them?

**Desired Outcomes.** To develop useful outcome statements, remember to describe what specific change(s) you expect to

occur as a direct result of your environmental strategies. Keep these in mind:

- An outcome should be specific and measurable.
- An outcome statement should specify (1) what will change (e.g., availability of alcohol to underage youth, parental attitudes toward drinking); (2) for whom (e.g., high school seniors, parents of high school youth); (3) by how much (e.g., decreased approval of peer drinking by 10 percent); (4) by when (e.g., by mm/dd/yy, after five years).
- There is likely to be more than one objective for each goal.
- The desired outcome statements should be logically linked to support the attainment of the goal(s).

**“Once the goals and desired outcomes were determined, we could track the necessary activities and measure the outcomes to assess our progress.”**

—Deborah Early, vice president for community services, Columbia, South Carolina

### The Goals Tool

This tool includes space to document target populations and desired outcomes. Below is a sample Goals Tool, provided in Appendix G, completed by the community coalition for the AET.

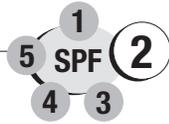
## South Carolina Alcohol Enforcement Team



The community coalition decided that there should be an effort to reduce youth access to alcohol by targeting the attitudes and behavior of law enforcement officials and merchants. The coalition had one major goal and was initially interested in changing the behavior of local law enforcement officials and merchants. The Goals Tool below highlights the goals, target populations, and desired outcomes for the AET.

### Goals Tool

Goals	Outcomes Questions	Outcomes Answers	Target Population (who and how many?)
To reduce the use of alcohol by persons under age 21 through the reduction of accessibility/availability of alcohol	What will change?	Attitudes toward making cases for underage drinking	40 officers
	For whom?	Law enforcement	
	By how much?	10% improvement	
	When will the change occur?	After 1 year on the AET	
	How will it be measured?	Pre/post survey	
To reduce the use of alcohol by persons under age 21 through the reduction of accessibility/availability of alcohol	What will change?	Attitudes toward selling to underage youth	60 merchants
	For whom?	Merchants	
	By how much?	10% improvement	
	When will the change occur?	After the training session	
	How will it be measured?	Pre/post and follow-up surveys	
To reduce the use of alcohol by persons under age 21 through the reduction of accessibility/availability of alcohol	What will change?	Knowledge of laws regarding underage drinking	60 merchants
	For whom?	Merchants	
	By how much?	20%	
	When will the change occur?	After the merchant training	
	How will it be measured?	Pre/post survey	



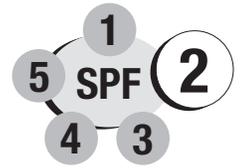
## CHECKLIST FOR ACCOUNTABILITY QUESTION: Goals

### Make sure the community coalition has...

- Goal(s) that are clearly stated and not phrased as activities.
- Goal(s) that are realistic and identify the expected results.
- Clearly defined the target population(s) or participants.
- Decided how participants will be recruited and retained.
- Specified desired outcome statements that are linked to the goals.
- Established how each desired outcome will be measured and whether access to necessary data can be obtained.
- Engaged diverse representatives of the community when developing ideas about potential goals, target populations, and desired outcomes.
- Ensured that cultural competency was addressed in this accountability question.



# STRATEGIC PREVENTION FRAMEWORK STEP 2: MOBILIZE AND/OR BUILD CAPACITY TO ADDRESS NEEDS



## CHAPTER 4 Accountability Question:

What capacities need to be strengthened to develop and implement a plan to reduce underage drinking? (Capacities)

In this step, consider what capacities need to be strengthened to achieve the goals and desired outcomes specified in the previous accountability question on goals. Examine how to strengthen capacities across several areas, such as human capacities, fiscal capacities, technical capacities, and structural capacities, such as collaboration and networking.

### Why is Building Capacity Important?

Building capacity to address issues related to underage drinking allows the group to do the following:

- Identify which additional community members need to be involved in developing the plan (e.g., youth, teachers, membership from various racial/ethnic groups).
- Examine community resources and what infrastructure (e.g., data systems) and strengths (e.g., professional skills) should be further developed.
- Collaborate successfully through networking and coordination of efforts.
- Ensure adequate capacity for high-quality implementation.

Building capacity will always be “on the front burner” when working with the SPF. There will always be opportunities to build various types of capacities through training and technical assistance, and there will always be challenges to maintaining capacities (e.g., diminished funds, staff turnover). Remember, it is fine to realize that the coalition or group does not currently have all of the necessary capacities to develop or implement a comprehensive plan to reduce underage drinking. The idea is to determine how your coalition will strengthen its capacities for this task. For example, if one goal is to reduce availability of alcohol for those under age 21, consider what capacities are needed to actually reach this goal. Specifically, are law enforcement agencies on board? How much training do they need? What about merchants? Does your group know the merchants who repeatedly sell to minors or is there a need to access additional information through databases or records?

The following are some ideas to strengthen capacities in several areas.

### Human Capacities (Internal and External)

When considering what human capacities are needed to develop and implement a plan to prevent underage drinking, con-

sider both internal and external capacities. Internal capacities are related to leadership within the coalition or organization, managerial and direct support, governance, and structure (e.g., roles, responsibility, accountability systems). External capacities are supports or resources from “outside” the coalition, including various funding streams (e.g., block grants, foundation support), volunteer contributions (e.g., time, energy, skills), and physical resources (e.g., meeting space). The following are some ideas for building human capacities at both internal and external levels.

1. Ensure that there are sufficient staff and volunteers to *develop* a high-quality plan to prevent underage drinking.
2. Ensure that there are sufficient staff and volunteers to *implement* a high-quality plan to prevent underage drinking.
3. Ensure that the staff and volunteers have the appropriate and required credentials to implement the plan.
4. Ensure adequate opportunities for training and technical assistance for staff and volunteers.
5. Ensure that the staff and volunteers have the skills and relevant experience to take responsibility for
  - a. ongoing community collaboration
  - b. understanding and inclusiveness of multiculturalism
  - c. leadership and ensuring that all key process functions are maintained (e.g., consensus-building, creating shared ownership, leveraging resources)
  - d. communications and public relations
  - e. logistics (complex planning and small details)
  - f. fundraising
  - g. continued training and professional development
  - h. monitoring and realistically appraising the progress of the plan.

### Fiscal Capacities

When considering what fiscal capacities are needed to develop and implement a plan to prevent underage drinking, consider the costs of developing the plan and a longer-term funding strategy to ensure sustainability. Once the plan is developed, additional review of the costs of implementing the plan will need to be continually analyzed. There is always a need to strengthen fiscal capacities, whether through diversifying funding streams, coor-

dinating grant applications with other partners, or collaborating with a lead agency that can manage the grants obtained. The following are some ideas for consideration:

1. Use technical and networking skills to keep informed about grant opportunities (see [www.grants.gov](http://www.grants.gov)).
2. Stay connected to others who can identify potential funding sources to address problems related to underage drinking.
3. Get to know those in political positions and ask them to be on the lookout for funding opportunities.
4. Consider hiring a grant writer for grant proposal development or to review your grant application.
5. Ensure that there are sufficient fiscal capacities to provide resources for
  - a. transportation, if necessary
  - b. food and other incentives, if necessary
  - c. supplies and materials, if necessary
  - d. child care and other support services, if necessary
  - e. solutions to other barriers as identified in the plan.
6. Develop a resource development plan so the coalition or group has the resources to support both its long-term strategies and its infrastructure.

### Technical Capacities

When developing and implementing a plan to prevent underage drinking, consider what types of technical expertise are needed in the areas of evaluation, accounting expertise, access to databases, and specialized support. Consider how to strengthen the technical capacities using the following ideas:

1. Ensure adequate technical capability to implement the plan to reduce and prevent underage drinking.
2. Ensure that there are sufficient technical capacities for
  - a. access and review of various databases
  - b. access to alcohol outlets
  - c. internet access to information (books, articles, videos) that provides knowledge about evidence-based strategies for underage drinking prevention
  - d. evaluation expertise
  - e. accounting expertise (e.g., payroll, purchasing, other business activities)
  - f. other technical supplies or materials (e.g., passive alcohol sensors, law enforcement materials).
3. Partner with other institutions (e.g., universities, businesses) that can assist you in developing needed technical capacities.

### Structural Capacities (Collaboration, Linkages with Partners)

When considering what structural capacities are needed to develop and implement a plan to prevent underage drinking, consider the community's history and ability for collaboration and true partnership. Clearly, there will need to be an emphasis on involving key leaders and stakeholders or partners for ongoing support. Leaders should be knowledgeable about the community characteristics and believe that the coalition or policy panel is capable of making a difference. Consider the following ideas for building structural capacities:

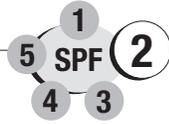
1. Determine the structural capacities of the coalition to implement the plan to reduce and prevent underage drinking.
2. Ensure that there are sufficient structural capacities for
  - a. attracting and engaging strategic partners not currently in the coalition
  - b. recruiting influential members to provide community support for the planning, implementation, and evaluation of the plan to reduce and prevent underage drinking
  - c. educating key stakeholders and community leaders about the problems related to underage drinking
  - d. cultivating new leaders and champions among partners so that they can help expand and integrate the underage drinking plan into deeper community levels.

### South Carolina Alcohol Enforcement Team



The community coalition examined what capacities they possessed to develop a comprehensive plan that would help to reduce youth access to alcohol. Because they knew that the goals were to reduce youth access to alcohol and that law enforcement and merchants would be the primary target populations, they considered their current capacities and what needed to be strengthened.

- **Human:** Continued buy-in from school personnel, undercover cooperating informants, merchant educators, project coordinators, law enforcement coordinators.
- **Fiscal:** Adequate funding but continued state and national training opportunities were requested.
- **Technical:** Best practice resources, access to evaluation expertise, law enforcement expertise (including surveillance), and public awareness efforts.
- **Structural:** Continued efforts to gain buy-in from the community and champions in law enforcement who would remain committed to the effort over a long period of time.



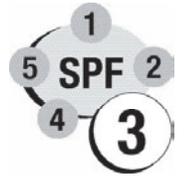
## CHECKLIST FOR ACCOUNTABILITY QUESTION: Capacities

### Make sure the community has...

- Staff with appropriate credentials and experience and a strong commitment to reducing underage drinking.
- Diversity in the community coalition, including among staff, volunteers, and member agencies.
- Adequate numbers of staff and volunteers.
- Clearly defined roles for staff and volunteers.
- Adequate technical resources.
- Adequate funding to implement a plan to reduce underage drinking.
- Adequate linkages to other community organizations.
- Community leaders who understand and strongly support the efforts to reduce underage drinking.
- A plan to address any areas in which there is insufficient capacity.
- Ensured that cultural competency was addressed in this accountability question.



# STRATEGIC PREVENTION FRAMEWORK STEP 3: DEVELOP A COMPREHENSIVE STRATEGIC PLAN



## CHAPTER 5 Accountability Question:

What evidence-based environmental strategies will be useful in helping to achieve the goals? (Environmental Strategies)

### COMMUNITY STORY: Pima County Arizona

In Pima County, Arizona, underage drinking is a significant problem. Approximately 40 percent of eighth graders and 59 percent of twelfth graders report using alcohol in 2002. Adolescents in the county also start drinking at an earlier age than adolescents in other parts of the United States. On average, Pima County kids start drinking just after turning 12, about 10 months earlier than the average in Arizona and a year earlier than youth nationally.

The startling news of these trends led the Tucson/Pima County Commission on Addiction Treatment and Prevention to produce a report on underage drinking, advising city and county officials to address the teen alcohol use problem in the county.

“We have children coming in at age 13, 14, 15 with blood-alcohol levels beyond toxic, near lethal,” said Dr. Richard Wahl, a pediatrician specializing in adolescent medicine who advised the panel. The commission’s key recommendations focused on environmental strategies such as

- enforcement of existing restrictions on businesses that sell liquor, youth who drink it, and adults who help them obtain it
- increased fines and the use of diversion programs for minors who use false identification to buy liquor
- weekend patrols by enforcement agencies to aggressively check open areas where underage drinking parties are known to occur.

### WHY IS IT IMPORTANT TO IMPLEMENT EVIDENCE-BASED STRATEGIES?

Many policies to reduce underage drinking have been researched and evaluated to determine whether they are effective. A policy or strategy is “evidenced-based” if it has shown to reliably produce measurable reductions in underage drinking in communities or research settings (Oregon State University, 2003). Implementing a policy that has already been shown to be successful can help reach the goal of reducing underage drinking. It is also more effective to implement a multicomponent strategy to prevent underage drinking that addresses the family, school, and community (Komro & Toomey, 2002). A number of environmental strategies have been proven effective in reducing underage drinking.

### RESPONSIBLE BEVERAGE SERVICE (RBS)

Policies that require training for servers and merchants on responsible serving practices can help to reduce underage drinking. RBS policies hold merchants accountable for serving alcohol to intoxicated patrons and to those under 21. Research shows that sales to underage youth are higher in communities where a responsible beverage service training program is not in place (Alcohol Epidemiology, undated).

The goal of the training program is to reduce underage drinking and other alcohol-related problems in the community. There are three components to effective RBS training (Marin Institute, undated[a]):

#### 1. Policy development

State law, local ordinances, or individual merchants establish policies that require specific training to increase skills that will reduce alcohol sales to persons under 21 and intoxicated individuals. The training system needs to be included in all new employee orientations to ensure that these practices continue despite high employee turnover. Posters or flyers providing information on the establishment’s policies and practices, such as checking identification of all patrons who appear to be under the age of 30, help reinforce the skills learned in the RBS program.

#### 2. Merchant education

The goal of merchant education is to (1) help managers and servers/sellers understand state, community, and establishment-level alcohol and tobacco policies and potential consequences

### EVIDENCE-BASED ENVIRONMENTAL STRATEGIES

- Responsible beverage service
- Alcohol compliance checks
- Happy hour restrictions
- Reducing alcohol outlet density
- Sobriety and traffic safety checkpoints
- Graduated drivers’ license laws
- Social host laws
- Keg registration
- Restricting alcohol sales at public events
- Increasing taxes on sales of alcohol

for failing to comply with such policies, and (2) provide the necessary skills to comply with these policies.

### **3. Partnership with officials from law enforcement, alcohol industry, and local government**

It is important that the community, merchants, and law enforcement officials are all supportive of RBS programs. Local or state law can require RBS training programs. The quality of the training and enforcement of the laws vary considerably. Some states have partnered with the alcohol industry to ensure successful implementation of a training program. If there is not a law in your state that requires training, local establishments can choose to implement training as part of their own employment requirements, or communities can pass local ordinances. Compliance checks are useful for monitoring the success of these programs.

In Pennsylvania, the Pottsville Partnership for Youth Alcohol Prevention teamed up with the mayor to pass a city ordinance requiring all alcohol licensees in that city to pass an alcohol server training course. The Pennsylvania Liquor Control Board offers businesses free training and technical assistance. Three months after the ordinance passed, 80 percent of the licensees completed the training (Alcohol Epidemiology Program, undated).

Overall, incorporating an RBS program into a community-wide strategy to prevent underage drinking has been proven effective not only in reducing underage drinking, but also in reducing other community problems associated with heavy drinking.

**Minnesota:** An evaluation of the Alcohol Risk Management system, a one-on-one consultation aimed at owners and managers of alcohol establishments, showed an 11.5 percent reduction in sales to underage youth, as well as a decrease in sales to intoxicated patrons, compared to establishments that did not receive the training (Alcohol Epidemiology Program, undated).

**Oregon:** A study of Oregon's required server training found a significant reduction in alcohol-related traffic accidents. Three years after the program was established, there were 23 percent fewer single-vehicle nighttime crashes (Holder and Wagenaar, 1994).

#### **Recommended elements of RBS training to prevent sales to underage youth (Colthurst, 2004):**

- Target not only the servers, but also the managers and owners of bars and restaurants in the community.
- Promote drinks without alcohol.
- Check for proof-of-age identification.
- Prevent adults from purchasing alcohol for minors.
- Restrict sales of pitchers.
- Provide adequate security and supervision.

### **COMPLIANCE CHECKS**

Effective enforcement is essential to deter alcohol outlets from selling alcohol to underage customers and to discourage underage youth from attempting to purchase alcohol. To conduct compliance checks, law enforcement officials supervise undercover youth who attempt to purchase alcohol, penalizing the

establishment if the attempt is successful (MADD, undated[a]). Publicizing enforcement efforts may enhance the extent to which compliance check programs and alcohol policies act as deterrents.

One national study found that in 21 major cities, compliance rates among alcohol retailers ranged from 57 to 100 percent. On average, this study found 18 percent of retailers sold alcohol to buyers under 21 (MADD, 2005). Another national study found that 27 percent of underage college students purchased alcohol without proof of identity, and 21 percent used a fake ID to purchase alcohol (Wechsler et al., 2000). An alcohol purchase survey of alcohol outlets in Minnesota and Wisconsin found that 75 percent of establishments sell beer to youthful-looking buyers without checking identification (Forster et al., 1995).

In Concord, New Hampshire, officials implemented an enforcement campaign that included regular compliance checks and extensive media coverage. The campaign successfully reduced sales to underage buyers, lowering the number of outlets that sold to underage buyers during compliance checks from 28.2 percent to 10.2 percent (CDC, 2004).

The Denver, Colorado, police department experienced similar success after implementing its compliance check program. Outlets were selling alcohol to underage buyers 60 percent of the time until the compliance check program lowered the success rate for underage purchase attempts to 26 percent (Drug Strategies, 1999).

### **HAPPY HOUR RESTRICTIONS**

Certain promotional drink specials may encourage customers to consume a high volume of alcohol in a short period of time, which can lead to risky behavior. Happy hour restrictions place limits or bans on events that promote binge drinking, such as happy hours, ladies' nights, all-you-can-drink specials, and unlimited beverages at a fixed price for a fixed period of time.

A 1978 study by the Alcohol and Drug Abuse Research Center at Harvard Medical School created an experimental happy hour setting in which half of participants could purchase drinks at a reduced price during a certain time and half could purchase drinks at a constant price. Results showed that price reduction significantly increased alcohol consumption in both casual and heavy drinkers, while reinstatement of the standard purchase price returned drinking rates to normal. During the period of price reduction, casual and heavy drinkers consumed eight and nine times more alcohol, respectively, than comparable subjects with no price reduction (Babor et al., 1978).

Evidence from other countries also suggests that restricting happy hours reduces alcohol consumption. For instance, Ireland experienced a 3 percent decline in alcohol consumption after banning happy hour promotions in its pubs in 2003 ("Unhappy Hours," 2005). In 2005, all 32,000 members of the British Beer and Pub Association (about two-thirds of all pubs in the UK) agreed to ban happy hour promotions after a 1999 government report showed that these promotions encourage drinking and increase crime ("Pubs to Scrap Happy Hour Drinks," 2005).

There is also suggestive evidence that happy hour promotions are frequented more often by underage drinkers than by those 21 and over. A national study of binge drinking among



college students conducted by the Harvard School of Public Health found that underage college students were 20 percent more likely to get free drinks, pay less than \$1 per drink, or pay a set price for an unlimited number of drinks than those of legal drinking age. This study also revealed that students who paid less per drink or paid a set price for drinks were more likely to engage in binge drinking (Wechsler et al., 2000).

### **REDUCING ALCOHOL OUTLET DENSITY**

Alcohol outlet density refers to the number of alcohol merchants available to a particular population or in a particular area, which can affect the availability of alcohol, its presence as part of community culture, and the strain on local enforcement agencies (Leadership, 2001).

Research shows that more alcohol outlets mean more youth access to alcohol and other associated problems. A 2002 study found that higher alcohol outlet density is associated with drinking and driving as well as riding with drinking drivers, and that youth are more likely to be affected by outlet density than those of legal drinking age (Treno & Lee, 2002). A 2002 Louisiana State University study also concluded that lower numbers of alcohol sale outlets per resident were associated with reduced rates of alcohol-related traffic fatalities (Cohen, Mason, & Scribner, 2002).

Additionally, a 2003 study by the Department of Health and Social Behavior at the Harvard School of Public Health found a significant correlation between outlet density and heavy drinking (consuming five or more drinks on one occasion), frequent drinking (consuming alcohol on ten or more occasions in the past month), and problem drinking (reporting five or more problems related to drinking) (Weitzman et al., 2003).

Community action has proven successful, in some cases, at influencing alcohol outlet density. In one Chicago neighborhood, a study revealed that area liquor stores and bars were the focal point of 60 percent of crimes. Community volunteers gathered information about the spread of alcohol outlets in the area, circulated petitions, and registered voters. Their efforts resulted in a local vote that successfully closed several alcohol establishments, reducing outlet density in the community (Leadership, 2001).

In Salinas, California, residents of an economically depressed neighborhood formed a prevention group called Preventing Alcohol-Related Trauma in Salinas (PARTS) to reduce the concentration of alcohol outlets that had been attracting gang activity and public drunkenness to the area for years. Community members banded together to oppose a planned liquor store within a new supermarket. The city did in fact deny the liquor license, and the developer leased the property to a much-needed day care center, which would stimulate economic development in the community (Streicker, 2000).

### **SOBRIETY AND TRAFFIC SAFETY CHECKPOINTS**

Laws exist to help prevent underage drinking in many communities. Unfortunately, some of these laws are not enforced and are, therefore, ineffective. Research has shown reductions in alcohol sales to underage youth by as much as 35 to 40 percent when alcohol policies are combined with proper enforcement. This is especially true when these strategies are combined with media advocacy to educate the community about the laws and enforcement practices (Dent, Grube, & Biglan, 2005).

One effective method of ensuring compliance with alcohol laws is to establish sobriety checkpoints, where law enforcement officers systematically stop drivers to determine if they are driving under the influence of alcohol or other drugs. If the officer has reason to believe that the driver has been drinking, the driver can be subjected to a breathalyzer test (CDC, 2002, 2004). Sobriety checkpoints serve primarily as a deterrent to drinking and driving, but also as a method of getting impaired drivers off the road (Shults et al., 2001).

There is strong evidence supporting the use of sobriety checkpoints. A 2001 review of existing studies on the effectiveness of sobriety checkpoints found that communities that implemented them saw a median 20 percent drop in alcohol-related traffic crashes and a sustained overall reduction in crashes (Shults et al., 2001).

One such study examined the effects of a highly publicized sobriety checkpoint program in Tennessee, conducted by the NHTSA from 1994 to 1995. Checkpoint Tennessee received heavy publicity on television, billboards, radio, and print media, and surveys showed public awareness of and support for the demonstration program. Results revealed a 20.4 percent reduction from the projected number of drunk-driving fatal crashes that would have occurred without intervention, or a reduction of approximately nine alcohol-related fatal crashes per month (Lacey, Jones, & Smith, 1999).

The U.S. Supreme Court ruled in 1990 that sobriety checkpoints do not violate the Fourth Amendment and thus are constitutional, but some states still prohibit sobriety checkpoints (CDC, 2004). In states where sobriety checkpoints are illegal, it may nonetheless be lawful to conduct traffic safety checkpoint programs. Officers conduct traffic safety checkpoints for the noninvestigatory purpose of guaranteeing traffic safety by ensuring driver and vehicle compliance with licensing, registration, and inspection requirements, rather than checking expressly for inebriated drivers as they do at sobriety checkpoints.

Partnering with local media can help to increase enforcement of current laws. In Connecticut, the zero tolerance law was passed in 1995, but very few people knew about the law and its legal consequences. To educate the public and law enforcement officers, the Connecticut Coalition to Stop Underage Drinking partnered with the Connecticut Department of Transportation and a local public relations firm to launch a media campaign. The goal of the campaign was to educate the public and to increase enforcement of the law. The campaign included a brief video, newspaper ads, posters, bill inserts, billboards, and public service announcements.

## GRADUATED DRIVERS' LICENSE LAWS

Motor vehicle crashes are the leading cause of death among youth ages 15 to 20 (NHTSA, 2003). One effective method of reducing the risk factors, such as driving under the influence of alcohol, that can lead to teen motor vehicle crashes and fatalities is the implementation of graduated drivers' licenses (GDLs). A GDL system is designed to gradually introduce new drivers to different driving circumstances. This is usually done by allowing beginners to gain experience driving as they move from a highly supervised permit to a supervised license with restrictions and then to a full-privileged drivers' license.

An effective GDL program is supported by parents, policy-makers, and the youth in the community. Parents are a primary source of enforcement for these restrictions. Therefore, strategies in some states may focus on implementing more restrictions as part of a GDL system, while other states may need to focus on educating parents and teenagers about the current restrictions. Many states have developed booklets or Web sites to help parents understand the law. Detailed information about GDL can be obtained from the Insurance Institute for Highway Safety ([www.iihs.org](http://www.iihs.org)).

The National Survey on Drug Use and Health report, *Graduated Driver Licensing and Drinking Among Young Drivers* (SAMHSA, 2004), reported that states with more restrictive driver-licensing laws had lower rates of youth age 15–17 driving under the influence of alcohol and lower rates of heavy drinking than states with less restrictive laws. States with the most restrictive driver-licensing laws have additional requirements, such as having an adult accompany the driver, limiting the number of passengers allowed in the car, and the hours youth are permitted to drive.

A number of studies have been conducted to evaluate the effectiveness of GDL systems. An evaluation of six states that implemented a GDL between 1996 and 1999 found an overall crash reduction among young drivers after the law was in place (Shope & Molnare, 2003). Highlights include the following:

**Florida:** A 9 percent reduction in fatal crashes and injury crashes among 15–17-year-olds from 1995 to 1997.

**Michigan:** The risk of being involved in a fatal crash was 25 percent lower in 1999 than in 1996. (A GDL was implemented in April 1997.)

**Pennsylvania:** A 27 percent reduction in crashes among 16-year-olds and a 45 percent reduction in fatalities from 1999 to 2001.

Specific components of GDL systems have also been studied, although the research in this area is relatively new because many of the GDLs were not implemented until the mid- to late 1990s. Restrictions that do not allow teenagers to drive after midnight or an earlier time have demonstrated reductions in nighttime crashes (McKnight & Peck, 2002). North Carolina has a 9 p.m. restriction in the state's GDL system, which resulted in a 25 percent crash reduction (McKnight & Peck, 2002).

The combination of the zero tolerance law and a GDL system can be very effective in reducing alcohol-related crashes when enforced. Every state has a zero tolerance law making it illegal for drivers under the age of 21 to operate a motor vehicle with a blood alcohol level of .02 or more (Davies, 2004). In states that

also have GDL restrictions, research has shown a reduction in alcohol-related crashes after the implementation of GDL. Two studies of jurisdictions with zero tolerance laws found 16 percent and 38 percent reductions, respectively, in alcohol-related crashes one year after GDL implementation (Hartling et al., 2004).

## SOCIAL HOST LAWS

Parents sometimes host drinking parties for underage youth in an attempt to protect them by providing a supervised environment. In fact, adults are the most common source of alcohol for underage drinkers, and one in four teens has seen peers drink alcohol in front of parents at a party (AMA, 2005). Social host laws hold noncommercial servers of alcohol, such as homeowners or parents, liable in the event that they provide alcohol to a minor or an obviously inebriated individual who later becomes involved in an accident that causes injury or death to a third party (MADD, undated[b]). A national study found that social host liability laws lowered the probability of binge drinking and drinking and driving among all drinkers (Stout & Davies, 2000).

The consequences of violating social host laws vary by state. In some states, homeowners or parents can be charged or sued for the medical expenses, property damage, or pain and suffering caused by an accident. In other states, parents can face criminal prosecution and incarceration for providing alcohol to minors (SAMHSA, 2004). A woman in North Carolina was recently sentenced to four months in jail for the death of a minor who drank beer and vodka in her home and died from alcohol poisoning (Garfield, 2005).

Public awareness campaigns may be especially helpful to strengthen deterrence by informing adults of social host liability laws in their state. For instance, the Ohio Task Force on Combating Underage Drinking led the Parents Who Host Lose the Most project, which posted its slogan on paycheck envelopes, grocery bags, store windows, and checkout stands: "Don't be a party to teenage drinking. It's against the law" (Leadership, 2001).

Another public information campaign was developed in Oregon by the state's Alcohol Beverage Control Commission. Whenever the commission was informed by school personnel of parties where underage drinking had occurred, it sent letters to parents reminding them of the potential penalties for hosting a party at which minors are provided with alcohol (Leadership, 2001).

## KEG REGISTRATION LAWS

Young people and party organizers rent kegs of beer because they provide inexpensive but large quantities of alcohol. The keg parties at which this beer is served present risky opportunities for binge drinking and underage drinking. Keg registration laws require kegs of beer to be tagged with an identification number and information to be recorded about the purchaser. Sometimes a deposit is required as an incentive to return the keg properly tagged. These laws make it easier to track the whereabouts of kegs and the individuals using them, including underage youth and the adults who may have provided the



keg for them. The specific requirements stipulated by these policies vary widely in the information collected from the purchaser, amount of deposit, penalties for loss of tags or failure to return kegs, and method of tagging.

The Louisiana State University Health Sciences Center analyzed alcohol policies and alcohol-related traffic fatality rates in 97 major cities. Evidence showed that keg registration requirements significantly reduced rates of alcohol-related traffic fatalities (Cohen, Mason, & Scribner, 2002).

For some communities, permanent tags may be more effective than removable ones. In Isla Vista, California, law enforcement officials were concerned that the easily removable stickers required under state law were too often absent from kegs found at underage parties, making it difficult to identify the purchaser and defeating the purpose of the law. For this reason, the Isla Vista Alcohol and Other Drug Council began developing a new method of tagging that would use permanently attached serial numbers (Marin Institute, undated[b]).

### RESTRICTING ALCOHOL SALES AT PUBLIC EVENTS

Community events, such as sports games, festivals, or other public celebrations, often provide a venue for lax alcohol sales and consumption. Several studies have shown that attempts by underage youth to purchase alcohol are likely to be successful at community festivals (Alcohol Epidemiology Program, undated). Policies that restrict the availability of alcohol at these events include, but are not limited to,

- establishing designated drinking areas where under age youth are not allowed and outside of which alcoholic beverages may not be carried or consumed
- requiring strict beverage sale guidelines, including RBS training, limits on the size and number of drinks per purchase, and stopping sales at least one hour prior to event closing
- publicizing the illegality of providing alcohol to minors, using signs and printed regulations
- banning alcohol and alcohol industry sponsorship.

A 2001 study examined the effects of banning beer sales at football games at the University of Colorado at Boulder and found a dramatic reduction in arrests, assaults, ejections, and student referrals to the judicial affairs office in the two years following the ban (Bormann & Stone, 2001).

In San Diego's Qualcomm Stadium, alcohol sales had been limited to the first three quarters of football games, at a maxi-

imum of two drinks per person. However, numerous violent incidents—including the 1999 stabbing of one sports fan and the 2004 beating of another into unconsciousness—spurred changes to improve stadium security. Officials banned the sale of alcohol after halftime and limited each purchaser to one beer at a time (McDonald, 2004).

### INCREASING TAXES ON SALES OF ALCOHOL

Research has shown that raising the taxes and price of alcohol leads to a decrease in its consumption by youth. Increasing the total price of alcohol has also been shown to decrease drink-

ing and driving among all age groups (Chaloupka, Grossman, & Saffer, 2002). Although this policy has proven to be effective, it is rarely used by states.

According to the Center for Science in the Public Interest (CSPI), most states' alcohol taxes have not been raised in decades. To calculate the effect of tax changes on consumption and revenue in your state, visit

<http://www.cspinet.org/booze/taxguide/TaxCalcB.htm/>.

States that have recently raised their tax on beer have seen a reduction in

binge drinking among youth. The five states with the highest beer tax (Alaska, Hawaii, South Carolina, Alabama, and North Carolina) have 17.3 percent of 18–20-year-olds reporting binge drinking, compared to the five states with the lowest beer tax (Wyoming, Wisconsin, Missouri, Pennsylvania, and Oregon), which have almost double the percent of binge drinkers among 18–20-year-olds.

Some states that have raised alcohol taxes dedicate the proceeds to public health programs, including substance use treatment programs, prevention campaigns, and other public education efforts.

**Table 4. Effects of Beer Tax on Binge Drinking**

	5 States with the highest beer tax	5 States with the lowest beer tax
Average Tax	70 cents	6 cents
Percent of 18–20-year-olds who binge drink	17.3%	31.8%

Source: Center for Science in the Public Interest Alcohol Policies Project Factbook on State Beer Taxes, August 2004.

### SUGGESTIONS FOR CHOOSING ENVIRONMENTAL STRATEGIES

So far in the SPF process, your group has collected information (e.g., community data, review of laws), identified potential goals and objectives, worked to build community capacity, and has now reviewed potential environmental strategies. How does the group decide which strategy or strategies to pursue? While there is no “one size fits all” answer, there are a couple of things to consider when choosing environmental strategies.

1. **Make sure that the group is truly aware of the current laws and ordinances that are already “on the books” for each of the ten strategies.** For example, how strong are the happy hour restrictions in your state or community? Is there a keg registration law? Or a graduated license law? How well are these laws enforced? Truly understanding the laws and enabling legislation will help to inform which strategies are likely to be most necessary for your target area.

2. **Pay attention to the political processes underlying many of the environmental strategies.** Specifically, what are the political processes that must be considered when deciding which strategies to pursue? For example, if the state has no political will for reducing access to alcohol at public events, but there has been some movement toward keg registration laws since the media has covered some keg-related problems, consider these variables when deciding on strategies. One reason to have diverse representation on the coalition is to keep abreast of specific conditions (e.g., political processes, potential barriers) that can impact the success.

3. **Determine what conditions or factors are major sources of serious consequences?** Data gathered and analyzed about the severity of these causal factors in your community will help determine the specific goals, desired outcomes, and, ultimately, the choice of an environmental strategy. Be strategic when deciding on a strategy, recognizing that it is not advantageous to pursue too many strategies at one time. Figure 3 is a graphic that shows how underlying factors can link to strategies.

4. **What conditions or factors are modifiable or preventable within the timeframe and budget?** Examine which causal factors may be the most easily modifiable in the community. An important factor that might influence this is the level of community support and capacity to address these potential causes. For example, if there is very little support to raise alcohol taxes in the community and among key stakeholders, then that might be a strategy not to pursue. If law enforcement is a strong contributor to your coalition, consider choosing strategies that are law enforcement-oriented (compliance checks, sobriety checkpoints).

5. **What conditions or factors are easily measurable (based on circumstances)?** Whatever the strategy, ensure that the group is able to document outcomes and impacts based on that strategy. What might influence the choice

of strategies is the data sources available to the group. For example, if law enforcement agencies will not readily provide their data on alcohol-related incidents, selecting a law enforcement-oriented strategy (compliance checks, sobriety checkpoints) may not be the best choice. Another factor is the resources needed to show outcomes and impacts. For example, to assess the impact of a media campaign, it may be necessary to survey all middle school students who “receive” the campaign. Such a large effort may not be possible given the resources, making it difficult to assess the impact of the campaign. Choosing a strategy in which it will be easier to show impacts may be a better choice.

6. **Which environmental strategies show the greatest likelihood for positive results (highly associated with underage drinking)?** As presented in this chapter, research studies examining the effectiveness of environmental strategies are important to review. For example, a nationwide analysis of alcohol-related motor vehicle accidents found that, “The items most strongly associated with lower rates of alcohol-related traffic fatalities are those that include random sobriety checkpoints and those that influence access to alcohol, such as laws restricting the places where it is acceptable to drink and laws limiting youth access to alcohol” (Cohen, Mason, & Scribner, 2002, p. 193). However, the causal factors that are the most linked to underage drinking may vary from community to community.

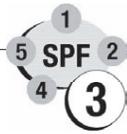
Therefore, it will be important to collect a variety of data to get the most accurate picture of underage drinking in your community and use them to develop the best plan for the community.

7. **What conditions or factors are not being addressed effectively with other initiatives (determined by the resources assessment)?** Identify similar efforts that are taking place in the community to determine if your proposed strategy would duplicate or enhance and complement those efforts. Clearly, if another group was conducting RBS training, it would not make sense to present another option unless that strategy was inadequate or presented incorrect or outdated information.

#### **INTERNET/WEB SITE RESOURCES FOR EVIDENCE-BASED STRATEGIES**

**American Medical Association, Office of Alcohol and Other Drug Abuse.** The Office of Alcohol and Other Drug Abuse focuses on reducing underage alcohol use. The office administers initiatives to support community coalitions, reduce high-risk drinking on college campuses, and engage health professionals in reducing and preventing alcohol problems. ([www.alcoholpolicyMD.com](http://www.alcoholpolicyMD.com))

**REMEMBER: The task is to develop a comprehensive community plan that is likely to include specific programs (e.g., for high-risk youth) as well as several environmental strategies (e.g., targeted toward everyone). No one program or strategy alone will be sufficient to make a demonstrable impact on underage drinking in the community.**



## COMMUNITY EXAMPLES

Communities around the country are creating partnerships of local coalitions, law enforcement agencies, colleges, and community members to implement environmental strategies to reduce underage drinking. Below are three examples of communities that have made policy changes to address this issue.

### **Gregg County, Texas**

In Gregg County, underage drinking and access to alcohol have been a problem. The county has a new law enforcement operation aimed to deter minors from asking adults to buy alcohol for them. An undercover officer works to prevent youth from approaching adults outside liquor stores and asking for alcohol.

### **University of Minnesota, Crookston, Minnesota**

Celebrating 21st birthdays with excessive drinking is very common. To stop this harmful behavior, the Alcohol, Tobacco, and Other Drug (ATOD) awareness program at the University of Minnesota at Crookston partnered with a community coalition to create the No Power Hour Partnership. Local bars and restaurants agreed to be listed on posters that will hang in their establishments, indicating that they are a member of this partnership and will not allow drinking binges from midnight to closing (known as a “power hour”) on a person’s 21st birthday.

### **Northeast Community Challenge Coalition Northeast Suburban Cincinnati, Ohio**

Since 1983, the Northeast Community Challenge Coalition has implemented a number of evidence-based strategies that have contributed to a measurable reduction in underage drinking. These strategies include evidence-based environmental strategies, such as communitywide education and awareness campaigns, a keg registration law, compliance checks, hotel/motel interdictions, party patrols, promoting and enforcing Ohio’s social host laws, reducing access at festivals, sporting and community events, establishing sobriety checkpoints, posting signage concerning the underage drinking laws, and server/seller training. Through the collaboration and the long-term commitment of multiple sectors using multiple strategies, Northeast Community Challenge Coalition has achieved demonstrated success in reducing underage drinking. In 1986, monthly usage of alcohol among 9th–12th graders was 48 percent. In 2004, monthly usage of 9th–12th graders dropped to 27 percent.

**Center for Science in the Public Interest (CSPI), Alcohol Policies Project.** It focuses public and policymaker attention on high-leverage policy reforms to reduce the devastating health and social consequences of drinking. The center is a source for information on policy issues such as alcohol taxes, youth and alcohol, and alcohol advertising. (<http://cspinet.org/booze/>)

**Center on Alcohol Marketing and Youth, Underage Drinking in the United States.** Its 2004 status report on underage drinking in the United States brings together data that are now reported piecemeal, focuses and advances our current understanding of underage drinking, and seeks to prompt action by putting a spotlight on whether the nation is making progress in protecting children by reducing underage drinking. (<http://camy.org/research/underage2004/>)

**FACE Project.** The project is a national nonprofit organization that supports sensible alcohol practices through the development of messages, strategies, and training designed to create public awareness about the connection between alcohol and critical public health issues. ([www.faceproject.org/](http://www.faceproject.org/))

**The Higher Education Center.** Its purpose is to help college and community leaders develop, implement, and evaluate programs and policies to reduce student problems related to alcohol and other drug use and interpersonal violence. The center favors a comprehensive approach to prevention, including a mix of environmental management strategies to address the institutional, community, and public policy factors that contribute to these problems. ([www.edc.org/hec/drugs/](http://www.edc.org/hec/drugs/); [www.edc.org/hec/violence/](http://www.edc.org/hec/violence/); [www.edc.org/hec/framework/](http://www.edc.org/hec/framework/); [www.edc.org/hec/](http://www.edc.org/hec/))

### **Institute of Medicine, Reducing Underage Drinking—**

**A Collective Responsibility.** Its report proposes a new way to combat underage alcohol use and explores the ways in which many different individuals and groups contribute to the problem and how they can be enlisted to prevent it. The recommendations in this report serve as both a game plan and a call to arms for anyone with an investment in youth health and safety. ([www.nap.edu/openbook/0309089352/html/](http://www.nap.edu/openbook/0309089352/html/))

**Join Together.** A project of the Boston University School of Public Health, Join Together works with communities to implement evidence-based efforts to advance effective alcohol and drug policy, prevention, and treatment. Its innovative Web site features daily news and in-depth feature articles, action alerts, resource listings, and tools for local action. ([www.jointogether.org](http://www.jointogether.org))

**Marin Institute.** Marin Institute is an alcohol industry watchdog and a resource for solutions to community alcohol problems. Solutions to Community Alcohol Problems, A Roadmap for Environmental Prevention. ([www.marininstitute.org/roadmap/index.htm](http://www.marininstitute.org/roadmap/index.htm))

**Mothers Against Drunk Driving (MADD).** MADD’s mission is to stop drunk driving, support the victims of this violent crime, and prevent underage drinking. MADD maintains a list of

state-by-state alcohol-related laws as well as other underage drinking resources on its Web site. ([www.madd.org/home/](http://www.madd.org/home/))

**National Centers for the Application of Prevention Technologies.**

The centers bring research to practice by assisting states, jurisdictions, and community-based organizations in the application of the latest research-based knowledge to their substance abuse prevention programs, practices, and policies. There are five regional CAPT offices. ([www.captus.org](http://www.captus.org))

**National Institute on Alcohol Abuse and Alcoholism.** The institute is a federal agency that supports research and dissemination efforts on alcohol-related problems. See *Preventing Drug Use Among Children and Adolescents: A Research-Based Guide*. ([www.drugabuse.gov/pdf/prevention/RedBook.pdf](http://www.drugabuse.gov/pdf/prevention/RedBook.pdf))

**National Institute on Alcohol Abuse and Alcoholism.** Its report, *Strategies to Prevent Underage Drinking*, outlines strategies for preventing underage drinking that consider the role of schools, extracurricular activities, families, the community, and policy change. (<http://pubs.niaaa.nih.gov/publications/arh26-1/5-14.htm>)

**Project Extra Mile.** Project Extra Mile is a statewide network of community coalitions whose mission is to create a community consensus that clearly states that underage alcohol use is illegal, unhealthy, and unacceptable. ([www.projectextramile.org](http://www.projectextramile.org))

**Substance Abuse and Mental Health Services Administration, Center for Substance Abuse Prevention, Division of State and Community Systems Development.** The center is a federal agency charged with supporting individuals with mental health and substance abuse disorders. See *Preventing Problems Related to Alcohol Availability: Environmental Approaches Reference Guide*, the third in the PEPS series, publication no. (SMA)99-3298, 1999.

**Underage Drinking Enforcement Training Center, Office of Juvenile Justice and Delinquency Prevention.** The center provides training and technical assistance to communities working to combat underage drinking. ([www.udetc.org/](http://www.udetc.org/))

**University of Minnesota in Minneapolis, School of Public Health.** The Alcohol Epidemiology Program (AEP) is a research program within the School of Public Health. The AEP conducts policy-relevant research on specific initiatives to prevent alcohol-related problems. ([www.epi.umn.edu/alcohol/](http://www.epi.umn.edu/alcohol/))

## South Carolina Alcohol Enforcement Team



A review of evidence-based literature was conducted and the following research-based findings were utilized to plan and implement an initiative to address underage alcohol use.

Information was obtained from the Pacific Institute of Research and Evaluation (PIRE) and its Underage Drinking Enforcement and Training Center (UDETC). The following summary reviews evidence-based principles related to underage drinking:

- Environmental strategies targeted at availability, accessibility, and social norms have shown to be the most effective at reducing underage alcohol use.
- The most effective strategies create environments in which the opportunities to drink are fewer and the temptations weaker. Some of these include
  - policy-level changes, including consequences for the youth attempting to buy and the merchants selling to youth
  - laws against adults who buy for minors or allow them to drink in their homes
  - enforcement of laws that is consistent and representative of adequate sanctions and punishment
  - settings that promote a strong normative message that excessive drinking is not typical or widely accepted behavior.

A variety of environmental strategies was selected as part of the community's comprehensive plan. These strategies are highlighted below and categorized by target group. More detailed information about the planning, implementation, and evaluation of these strategies is provided in Chapters 7, 8, and 9.

### LAW ENFORCEMENT:

**Compliance checks** (underage youth attempt to buy alcohol)

**Party patrols** (patrolling of neighborhoods where parties are suspected or have been held in the past)

**Traffic stops** (establishing probable cause for traffic violations)

**Traffic safety checkpoints** (checking for drivers' licenses, open container violations, or other safety violations)

**Casual contact** (making contact with the community—merchants, students, parents, community groups)

**Shoulder taps** (an undercover informant under the age of 21 is located in front of a store and asks adults to purchase alcohol for them)

**Boat patrols** (patrolling the lake for safety violations, including boating under the influence [BUI])

### MERCHANTS:

**Merchant education** (free of charge until July 2004)

**Distribution of the merchant messenger** quarterly

**Compliance checks** done in merchants' stores

**Casual contact** with law enforcement (distribution of merchant education information)



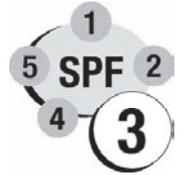
## CHECKLIST FOR ACCOUNTABILITY QUESTION: Environmental Strategies

### Make sure the community has...

- Assembled a coalition or task force that will focus on underage drinking in the community. Identify representatives from different sectors in the community, including the schools, faith community, law enforcement, parents, youth, and policymakers.
- Collected and disseminated data on underage drinking in the community. Examples of what to measure may include percent of youth who report alcohol use during the past month, alcohol use in the past year or over multiple years, lifetime use, age at first use, and attitudes toward alcohol use. Talking to youth to determine the patterns and places where house parties or keg parties take place in the community may also be helpful.
- Identified environmental strategies based on information about the local problem and evidence of what has worked in other communities that would have the most impact on reducing underage drinking and the problems associated with it. A policy panel is one method that communities can use for this process.
- Produced a document that describes each strategy, how it will be implemented on the local level, how it will be enforced, and how it will benefit the community. Partner with the local media to disseminate the findings of this report.
- Educated youth, parents, law enforcement, and the entire community about the new law or policy change, how it will be enforced, and how it will help keep the community safe.
- Ensured that there is necessary training to implement the policies and enforce them once they are in place.
- Continued to monitor and track underage drinking data to show the effectiveness of the strategies.
- Continued to reinforce policies over time for each new group of young people and their parents.
- Ensured that cultural competency was addressed in this accountability question.



# STRATEGIC PREVENTION FRAMEWORK STEP 3: DEVELOP A COMPREHENSIVE STRATEGIC PLAN



## CHAPTER 6 Accountability Question:

How will the environmental strategies to reduce underage drinking “fit” within the community context? (Fit)

### COMMUNITY STORY

For years, a small community college town celebrated Halloween with a large festival in the center of the city that was well attended by college students, families, and diverse members of the community. An alcohol and drug abuse prevention coalition had repeatedly requested that the organizers and city council refrain from selling alcohol in an environment with little monitoring of underage access, minimal presence of law enforcement, and no restrictions on the distribution of alcohol. The surrounding businesses strongly opposed these types of restrictions. One year, a young college female was killed when her boyfriend unknowingly ran over her after becoming intoxicated at the Halloween festival. This tragic incident created significant distress among members of the community and the university. As a result, the city council asked the coalition to draft recommendations on how underage drinking could be prevented during the community festival in subsequent years. The coalition developed recommendations based on evidence-based practices. However, the business community believed that the recommendations were too restrictive and, as a result, attendance and, therefore, their profits would significantly decrease. The business community claimed that the community festival was designed to be a party and that alcohol was a part of that atmosphere. After significant negotiations, it was determined that the best “fit” for the community festival would be the establishment of a beer garden (e.g., roped-in area) with strict enforcement of identification procedures, wristbands, and restrictions on the times when alcohol was sold, including no sales one hour prior to the end of the event. While the local coalition did not get all the restrictions desired, consideration of what would fit did result in significant changes that are consistent with evidence-based environmental prevention.

### Definition of “Fit” Within a Community

The concept of “fit” can be thought of in a variety of ways. In this accountability question, the idea is that there should be an assessment of how the proposed environmental strategies (chosen in the previous chapter) will fit with

1. values and practices of the community
2. the characteristics (e.g., age, gender, ethnicity, language, rural/urban, level of need) of the target populations
3. the philosophical mission of the host agency or organization
4. the culture of the target population, which affects how they can be reached and best served (e.g., college students who would attend alcohol-free tailgate parties if provided, reduced happy hour opportunities)
5. the priorities of key partners, including law enforcement agencies, funders, policymakers, service providers, community leaders, and participants; this also includes the owners of alcohol establishments and organizers of events at which alcohol is served and their willingness to support tougher alcohol restrictions
6. other programs and services that already exist to serve the target population.

By determining how the selected environmental strategies fit with the genuine concerns and issues in the community, there is opportunity to gain broader community support and better participation. This may increase the likelihood of success, as well as provide an indication as to the best way to utilize resources.

### Why Is Assessing Fit Important?

- It ensures that the selected strategies match the needs and the characteristics of the target population.
- It ensures that the plan to reduce underage drinking complements the activities and programs of other community agencies and organizations and are not in conflict with them.
- It ensures that excessive duplication of effort in the community does not occur.
- It ensures that the community can support the plan to reduce underage drinking.
- It ensures that adequate resources exist to implement the plan to reduce underage drinking.

- It ensures sufficient participant involvement in the plan to reduce underage drinking, thereby increasing the likelihood of success.
- Lastly, by addressing this question now, there is an opportunity to refine how other community efforts (e.g., community coalitions, environmental strategies, programs) can be utilized as resources to increase community buy-in for the comprehensive plan to prevent underage drinking.

### How To Assess and Improve Fit for the Environmental Strategies

When determining fit, make good use of the data collected from the needs and resources assessments. This information should include knowledge of the community's level of readiness to implement a plan to reduce underage drinking, a cultural analysis of the values and traditions of the targeted population, and a full understanding of the characteristics and behavioral habits of the targeted population (e.g., an alcohol abuse support group for college-age students should be offered in the evening because of classes held during the day). To understand the culture of a specific community or target population, involve its members so it is possible to gather their perceptions on community history, traditions, beliefs, and practices as they relate to underage drinking.

In this section, there are suggestions for how to assess and determine fit for the selected environmental strategies. This involves consideration of issues related to the cultural context, the characteristics of the target population, and the philosophy/mission of the key partners.

1. Consider how the proposed strategies fit with the values and practices of the community. This may include:
  - a. *Community consensus that policy changes are needed.* If the community does not agree upon or support policy changes, the policy will not be effective. Designating a coalition, task force, or policy panel that includes representatives from different parts of the community will help to ensure broad support.
  - b. *Community's ability or willingness to enforce policies.* First, law enforcement officials may need to be convinced that enforcement of more restrictive alcohol policies is worthwhile. Next, they may need proper training on how to enforce the new laws and policies. In addition, parents also need to support and enforce the policies. For example, parents are the primary enforcers of GDL laws and need to make sure that their children follow those rules.
  - c. *Political and social climate.* The political and social climate of a community can impact the adoption and success of environmental strategies aimed at reducing underage drinking. The support of the community must include the support of political leaders, parents, and youth. This broad base of support can lead to a change in community norms around the acceptance of underage drinking.

2. Consider how the plan to reduce underage drinking will fit with the characteristics of the target population. In addition, gather information as to whether
  - a. The proposed strategies and methods of delivery are suitable for the targeted population. If not entirely suitable, can the plan still be successful?
  - b. The cost and feasibility of adaptations to a strategy are possible (e.g., the cost of planning and implementing a public awareness campaign in Spanish).
  - c. The proposed environmental strategies and related activities are a duplication of efforts for the target population.
3. Consider the philosophy and mission of key partners (e.g., ATOD agency, faith community) and whether the proposed environmental strategies are compatible (e.g., a controlled drinking program may not fit well with an agency that endorses total abstinence). Some elements to consider are
  - a. the values and underlying philosophies of the key partners, such as board members, funders, and volunteers
  - b. the key activities of the proposed environmental strategies to determine whether they are consistent with the core values of stakeholders (e.g., if proposing compliance checks, parents of undercover youth may not support their children trying to purchase beer)
  - c. whether modifications or adaptations are needed for the proposed environmental strategies to fit with the core values of its members.
4. Consider the cultural context and readiness of the community to implement a plan to prevent underage drinking. This may include
  - a. a cultural analysis of how the community's values and traditions affect their beliefs about the importance of preventing underage drinking and their support for the environmental strategies proposed in the underage drinking prevention plan
  - b. consideration as to what adaptations are necessary to ensure that the underage drinking plan most appropriately fits the cultural context of the community
  - c. a review of the cost and feasibility of any adaptations suggested
  - d. community readiness analysis—that is, the degree of awareness of the issue or problem, community members' knowledge of it, their willingness to accept help or interventions that require changes in behavior, and their resiliency and capability to make changes in their attitudes and behaviors. For more information on how to assess community readiness, see [www.TriEthnicCenter.ColoState.edu](http://www.TriEthnicCenter.ColoState.edu) or Kumpfer, Whiteside, & Wandersman (1997).

5. Consider the priorities of key partners, including law enforcement agencies, funders, policymakers, service providers, community leaders, participants, and alcohol merchants. This may include
  - a. meeting regularly with key constituents to learn their positions and to gain their support
  - b. negotiating with alcohol outlets to learn which restrictions they would be willing to support
  - c. conducting a media advocacy campaign to gain the support of these groups.
6. Consider the presence of other programs and services that already exist to serve the target population. This may include
  - a. using the resource assessment information to inform the group about other similar efforts that are taking place locally
  - b. Approaching other groups engaged in similar environmental policy change efforts and attempting to collaborate.

### South Carolina Alcohol Enforcement Team



Prior to finalizing the underage drinking plan primarily designed to reduce underage access to alcohol, the community coalition examined how its potential strategies fit with existing interventions to reduce underage alcohol use among youth. Data from the resource assessment indicated that there were some individually oriented programs for youth (e.g., health classes in school); however, there were no systematic environmental interventions designed to influence behaviors of law enforcement officials and merchants. Because key members of the community (e.g., law enforcement, community coalitions, business, etc.) were involved early in the process, they became strong supporters of the plan to reduce underage drinking (i.e., good key partners fit). This assisted with issues around community readiness and ensuring that the strategies would be pursued in a culturally competent manner. The coalition easily determined that the fit was a good one because the community wanted a solution to the problem (i.e., a good values fit) and the involvement of law enforcement was viewed as advantageous. The coalition also knew that there were some strategies in the underage drinking plan that might be controversial (e.g., sobriety checkpoints) but they decided to move forward with pursuing these activities because law enforcement was such a strong ally.

### Barriers to Implementing Successful Strategies

As the coalition moves forward on deciding which environmental strategies will be part of the larger community plan, consider the idea of “fit” closely. There are a variety of barriers that can prevent the successful implementation of effective policies to reduce underage alcohol use. Many of these barriers are related to inadequate fit in some manner, including a lack of community consensus about the need for changes in policies, insufficient commitment of personnel and resources to ensure enforcement in the community, and the political and social climate of the community. Using the forms in the Evidence-Based Environmental Strategies section of this guide, groups can systematically examine potential barriers and develop strategies to address them.

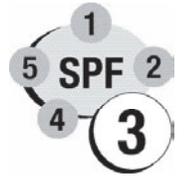
### CHECKLIST FOR ACCOUNTABILITY QUESTION: Fit

#### Make sure the community has...

- An accurate picture of existing community efforts (e.g., community coalitions, environmental strategies, programs) in the community that serve the target population.
- Determined whether the environmental strategies will fit within the cultural context of the community.
- Determined what adaptations need to be made for the environmental strategies to fit within the cultural context.
- Determined whether the environmental strategies will fit within the characteristics of the target population.
- Determined what adaptations may need to be made for the environmental strategies to fit within the characteristics of the target population.
- Determined whether the environmental strategies will fit the philosophy of the key community partners and the coalition members.
- Determined what adaptations may need to be made for the environmental strategies to fit the philosophy of key community agencies and the coalition members.
- Ensured that cultural competency was addressed in this accountability question.



# STRATEGIC PREVENTION FRAMEWORK STEP 3: DEVELOP A COMPREHENSIVE STRATEGIC PLAN



## CHAPTER 7 Accountability Question:

What is the plan for reducing underage drinking? (Plan)

### COMMUNITY STORY

An officer in the midwestern United States was returning home after patrolling late on a Saturday night when he witnessed a large party of teenagers in an open field and suspected underage drinking. He called for backup but, after a short period of time, he decided to approach the youths on his own. As they saw his car pulling up to the field, they fled in a variety of directions, leaving behind a keg of beer that had no identification on it. Many of the intoxicated youths got into their cars and fled, some ran across dangerous highways, and others stayed in the field, believing that they could talk their way out of the situation. This example demonstrates how inadequate planning and lack of knowledge about the situation could have created very dangerous results (e.g., deaths, injuries, motor vehicle crashes). With adequate training and planning, the situation could have resulted in a scenario with safer circumstances. For example, techniques of controlled party dispersal, including roadblocks for fleeing cars, an adequate number of officers, and specific procedures for processing the youth and notifying parents should have been planned.

### Definition of Planning

It is important to have an ongoing planning document that specifies who will do what, when, and where. Planning issues can be relevant at a larger level (e.g., county plan) or at a smaller level (e.g., neighborhood plan). This accountability question provides information to consider when planning details of environmental strategies to reduce underage drinking. See the section on Evidence-Based Environmental Strategies in this guide for tools that can be used in planning each of the ten environmental strategies outlined in Chapter 5.

### Why Is Planning Important?

High-quality planning can improve implementation, which, in turn, can lead to improved outcomes. Just like a to-do list used to organize tasks, planning tools can provide a straightforward method for detailed planning of the strategies. Some strategies require extensive planning (e.g., sobriety or traffic safety checkpoints) while other environmental strategies (e.g., keg registration) may not require such extensive efforts (after the law requiring keg registration is passed). Remember, when all parts of the plan are implemented with quality, the strategies are much more likely to have positive results.

### How to Plan Strategies to Prevent Underage Drinking

A high-quality community plan to reduce underage drinking will be comprehensive and incorporate many of the evidence-based strategies together—not just focus on conducting one or two strategies.

### Planning Tool

In this guide, we have customized the planning tool for each of the ten evidence-based strategies, which are presented in the Evidence-Based Environmental Strategies section. In addition, we have made available a blank planning tool to allow for greater flexibility and tailoring to the group's circumstances (see Appendix H). Below is a description on how to use the planning tool. Each heading corresponds to a different part of the planning tool.

**Summary of the Strategy.** It is useful for the planning documents to include a brief summary of the environmental strategy. The summary is a brief description of the key components of the strategy that may include a thumbnail sketch of the goals and activities and a simple statement about how the environmental strategy is expected to have a positive impact.

**Identifying Components or Major Types of Activities.** Most environmental strategies consist of key components or activities. For example, when conducting compliance checks, it is necessary to train undercover youth (usually called “undercover cooperating informant”) on how to legally attempt to buy alcohol, develop protocols for law enforcement if someone sells to an informant, and develop mechanisms to offer education to merchants who sell to youth. Each of these components should link directly to the overall goal (e.g., reduce availability of alcohol to youth under age 21).

In choosing how specific to be when listing components, consider what will be most useful to monitor throughout the implementation of the larger community plan. There is no need to identify every single detail (e.g., copying worksheets), but, rather, choose specific components in terms of how they might inform the evaluation process. Examples of primary components of an underage drinking plan are

- media advocacy efforts to promote awareness of the density of alcohol outlets in a neighborhood
- training for law enforcement on how to conduct compliance checks

- public awareness efforts highlighting the effectiveness of GDL laws in reducing alcohol-related injuries and deaths.
- Training merchants in RBS.

In the ten examples of environmental strategies, key components, tailored to each environmental strategy, are already provided in the planning tool. Adapt these components, if appropriate. There may be additional components to add, so use the blank spaces in the planning tool to record those additional components.

**Identifying Anticipated Outputs.** When completing this section, identify what outputs will show that the components were implemented as intended. Outputs are the direct products of the components and usually are measured in terms of work accomplished. Generally, there are two types of outputs to track: services delivered (e.g., number of meetings with legislators, public service announcements aired) and the number of people served. Table 5 shows examples of outputs for different types of components. In the ten environmental strategies, several types of outputs are suggested.

**Table 5. Anticipated Outputs**

If the component is...	A possible output might be...
Merchant training in RBS	Number of merchants attending the training (people served) Percentage of merchants who complete the training (people served)
Compliance checks	Number of attempts to buy alcohol by youth (services delivered)
A public awareness campaign explaining social host liability laws to adults	Number of public service announcements aired (services delivered) Number of parents attending an information session (people served)

Anticipated outputs should be stated in precise terms because, in Chapter 9, the anticipated outputs will be compared with the actual outputs attained. By monitoring outputs on an ongoing basis, it is possible to determine whether the strategy is on track and can provide information to make modifications early in the process.

**Planning Each Component.** Each component has several activities that must be accomplished well to ensure that each component is successful. Therefore, it is important to **list each of the activities necessary to implement the component of each environmental strategy.**

This is where detailed activities are planned. Some activities could include the following:

- *Recruitment of participants.* How will participants be recruited? Will individual visits to businesses occur or will there be a direct marketing campaign showing the dangers of happy hour promotions? Will law enforcement

visit merchants to suggest they participate in merchant training or will the ATOD agency collaborate and send invitations to all merchants who regularly sell to minors?

- *Staff training.* If staff or volunteers are not familiar with a particular environmental strategy, one of the first key activities would be training and developing mechanisms for ongoing technical assistance. The Pacific Institute for Research and Evaluation has an Underage Drinking Enforcement Training Center, funded by the Office of Juvenile Justice and Delinquency Prevention, that offers high-quality training to communities ([www.udetc.org](http://www.udetc.org)).
- *Other activities.* In addition, there are many activities to be considered, depending on the particular environmental strategy (e.g., operational plan for conducting sobriety checkpoints, meetings with individuals who endorse alcohol at sporting and community events, training alcohol outlets in keg registration procedures).

For each activity listed, consider the important planning elements:

- *Scheduled dates.* When will the activities occur? By deciding upon the approximate dates for the completion of each activity, a timeline will emerge. Use these dates to assess if the environmental strategy is being implemented in a timely manner.
- *Who will be responsible?* Before implementation, decide which staff and/or volunteers will be responsible for each activity. Will this be current staff and/or volunteers? Will new staff or an outside agency be hired?
- *Resources needed.* Consider what resources are needed for each activity. These may be financial resources or specific supplies such as food, training materials, or tags for keg registration. 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.* Determine where to hold the various activities. Certain locations will require significant lead time to reserve, and the space available may determine the type of training that can be conducted.

**Collaboration Partners.** In this section, identify the collaborative partners and the roles each partner will play during implementation. Collaboration, including the development of partnerships in the community, is an integral part of any comprehensive plan to reduce underage drinking. Environmental strategies are enhanced by developing partnerships with other agencies. Such efforts promote the sharing of ideas, resources, and even staff members.

**Implementation Barriers.** Environmental strategies are difficult to implement and often face many challenges. It is helpful to forecast what these challenges or barriers might be and generate possible solutions for them. The planning tool includes common barriers that may occur when implementing environmental strategies. The group can also generate additional barriers and potential solutions to these barriers.

### Summary Checklist

What must be done to prepare for the implementation of this environmental strategy? Have these tasks and activities been sufficiently addressed? The summary checklist can be used to plan and document efforts to prepare for an environmental strategy prior to its implementation. The checklist is a series of prompts to ensure that certain necessary tasks were completed prior to beginning the environmental strategy. The items listed are likely to be necessary elements of any environmental strategy, such as duties assigned, resources obtained, and location identified, but this list is not exhaustive. As with all forms in this guide, customize the forms based on what the community coalition requires, including additional tasks to be done before implementation begins.

It may be helpful to organize the checklist by components, creating checklists for each separate component. For instance, if the environmental strategy includes media advocacy, training of merchants, or airing public service announcements, a separate checklist can be created for each of those components. Once a list of tasks is organized that best represents the environmental strategy, check “yes” (Y) for the tasks that have been sufficiently addressed. For each task that has not been completed, check “no” (N), and 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 the strategy.

### Planning Tool

#### South Carolina Alcohol Enforcement Team



**Title:** *Alcohol Enforcement Team (Compliance Check Component Only)*

**Summary:** Officers received training on how to conduct compliance checks from the Pacific Institute for Research and Evaluation (PIRE). Prior to beginning any compliance checks, a clear protocol had to be established for what to do when a clerk sold alcohol to a minor. The five-person AET team and volunteer undercover youth planned to conduct approximately 20 compliance checks per month for a ten-month time period. The plan was endorsed by the AET liaison, a lead officer who serves as a liaison between the AET team, the sheriff’s department, and the ATOD agency. He is ultimately responsible for overall operations, including planning, coordination of efforts, and documentation.

Component	Actions Taken	Anticipated Outcome(s): How Many...
Component 1: COMPLIANCE CHECKS	Number of compliance checks completed	20 per month (August 2003–May 2004)
	Number of officers employed	Five members—generally resource officers and officers working on road units.
	Number of youth buyers used	Eight to ten

### Planning each component **Component 1: Compliance Check Operations**

Specify Key Activities	Scheduled Dates	Who Is Responsible?	Resources Needed/ Materials to Be Provided	Location
1. Determine type of compliance check	June 2003	AET/PIRE	PIRE training	Sheriff's department
2. Make decisions regarding a. Type of alcohol to purchase b. One vs. two officers c. One vs. multiple buyers d. Viewing the buyer(s) e. Buyer compensation (paid vs. volunteer) f. Immediate vs. delayed post-buy attempt contact	By July 31, 2003	All partners	Best practice information; technical assistance from PIRE	Meetings at sheriff's department
3. Select sites to be checked	July 2003–ongoing	AET liaison	List of off-premise stores that sell alcohol	ATOD agency
4. Review plan with the prosecuting attorney and the city council/licensing authority	Completed April 2003			
5. Notify businesses and the community	May 2003	ATOD agency and AET officers	Notifications to distribute	Richland County
6. Recruit and train youth volunteers	July 2003	AET liaison	Youth	Sheriff's department
7. Logistics: Develop the specific procedures for each compliance check (plan every step of the scenario from where to park the car to developing a plan for the potential response of each employer) a. Plan routes—establish target lists with specified criteria (random, region, etc.) b. Schedule buyers and officer(s) c. Obtain and document cash for purchases	July 2003–ongoing	AET team in coordination with the AET liaison	Written documentation; protocols, funding	Sheriff's department
8. Implement the compliance check according to protocol	August 2003–May 2004	All partners	All staffing; procedures in place; funding	Off-premise locations selected according to protocol
9. Complete reports and refer to appropriate authority for criminal or administrative charges	August 2003–May 2004	AET team in coordination with the AET liaison	Documentation and appropriate protocols; support of magistrates	All agencies



**AFTER COMPLIANCE CHECK IMPLEMENTATION** **Component 1: Compliance Check Operations (continued)**

Specify Key Activities	Scheduled Dates	Who Is Responsible?	Resources Needed/ Materials to Be Provided	Location
Write a media advisory and news release publicizing the results of the compliance checks	December 2003	ATOD agency	Initial results; media resources	State and local newspaper
Encourage the local paper to run an article about the results of the compliance checks	Ongoing	ATOD agency		
Mail a media advisory to key media contacts about the results of the compliance checks	December 2003; June 2004	ATOD agency	Evaluation report and media advisory	State and local newspaper
Send letters of congratulations/thanks to businesses/sellers who did not sell	August 2003–ongoing	Community coalition; ATOD agency	Documentation; addresses of businesses	
Issue press releases to community about the results of the compliance checks	December 2003; June 2004	ATOD agency	Evaluation report and sample press release	All media outlets

**Collaboration Partners**

Collaboration Partner	Role of Partner
Richland County Sheriff’s Department	Recruit officers for the AET; offer support regarding their efforts
Chapin Police Department	Recruit officers for the AET; offer support regarding their efforts
Lexington/Richland Alcohol and Drug Abuse Council, The Behavioral Health Center of the Midlands	Organize trainings for officers with PIRE; recruit and train undercover youth; meet regularly with AET officers; process paperwork for payment to officers and youth; collect data for ongoing monitoring and evaluation
Community Coalition (Community Roundtable)	Provide financial and nonfinancial support; review data
Pacific Institute for Research and Evaluation (PIRE)	Provide training and ongoing technical assistance
South Carolina Department of Alcohol and Other Drug Abuse Services	Provide project funds from the Enforcing Underage Drinking Laws federal initiative
Dr. Pamela S. Imm, Evaluator	Analyze data; write reports

Barriers	Proposed Solutions
By the time we were planning our compliance check protocol, most, if not all, of the barriers were overcome	



## Summary Checklist

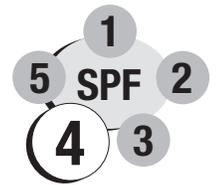
CHECKLIST ITEM		If no, plan for completion
Component 1: Compliance Checks		
Y	Resources obtained	
Y	Person responsible	
Y	Staff trained	
Y	Duties assigned	
Y	Location identified	
Y	Timeline written	
Y	Collaborative partners identified	
Y	Program materials developed	
Y	Barriers considered	

### CHECKLIST FOR ACCOUNTABILITY QUESTION: Planning

#### Make sure the community has...

- Identified specific, well-planned activities to reach your goals.
- Created a realistic timeline for completing each activity.
- Identified those who can be responsible for each activity.
- Identified facilities/locations available for each activity.
- Identified resources needed for each activity.
- Identified resources available for each activity.
- Ensured adequate levels of collaboration including roles for partners.
- Identified potential barriers (and possible solutions) to high-quality planning.
- Adequately addressed cultural competency in this accountability question.

# STRATEGIC PREVENTION FRAMEWORK STEP 4: IMPLEMENT EVIDENCE-BASED PREVENTION STRATEGIES AND ACTIVITIES



## CHAPTER 8 Accountability Question:

How will the implementation of the plan to reduce underage drinking be assessed? (Process Evaluation)

### COMMUNITY STORY

A community coalition in the northeast United States planned to implement a comprehensive plan to reduce underage drinking. Specifically, the coalition planned to work with local law enforcement to implement compliance checks and advocate for the passage of GDL and keg registration laws. Although the plans were well defined, there were some city council members who were asking, “How will we know that we are on track to achieve positive results?” The coalition formed an evaluation subcommittee and started measuring the plans’ implementation. They first began counting all their compliance checks to see if their law enforcement partners conducted the number they had proposed in their plan. They also observed some of the compliance checks to see if they were being conducted the right way. Then they began tracking their media strategies to advocate for the passage of GDL and keg registration laws. They counted everything they said they would do in their plan, including the number of meetings and press conferences held, letters mailed, and brochures distributed. After conducting compliance checks and media advocacy for several months, the coalition met and discussed the lessons they learned—in other words, what had gone well and what had not. In both areas, they noticed that they did not do as much as they initially proposed because of a lack of resources, thus stimulating them to pursue additional funding before implementing their strategies again. They also concluded that they had not engaged the local alcohol outlets well enough to get them to support a new keg registration law. This led them to convene a series of meetings with, and distribute additional information to, this group.

### Definition of Process Evaluation

A process evaluation assesses what activities were implemented, the quality of the implementation, and the strengths and weaknesses of the implementation. This information can help strengthen and improve each environmental strategy. A well-planned process evaluation is developed prior to beginning an environmental strategy and continues throughout its duration.

### Why Is a Process Evaluation Important?

How well an environmental strategy is implemented is critical to obtaining positive results. In this question, the process evaluation will identify how well the plan is put into action. Process evaluation data are useful in two primary ways: (1) by highlighting modifications to be made immediately and (2) by facilitating changes that will result in improvement over the long term.

### Short-Term Improvement

Tracking the different aspects of an environmental strategy’s implementation yields information about the components and activities that are working well at moving toward outcomes. This information then allows program staff to make midcourse corrections to keep the environmental strategy on track.

### Long-Term Improvement

In the long term, a process evaluation helps explain the final evaluation results. To obtain positive outcomes, the following two things are needed:

- a high-quality plan (including an appropriate rationale or theory for using a specific environmental strategy that addresses the causes of the problem, Steps 1–3 of SPF)
- high-quality implementation of the plan.

In addition, the process evaluation provides information about successful components and activities so that they can be repeated in the future and also provides information about what activities should be discontinued. This is helpful when attempting to repeatedly conduct the environmental strategy. Finally, since an environmental strategy usually takes a long time to show success, a process evaluation can help demonstrate (to the media, community, funders, etc.) that certain activities have occurred that will contribute to a successful result.

### How to Conduct a Process Evaluation

There are several process evaluation questions that can be asked of environmental strategies, each involving a specific type of data collection. The process evaluation matrix provided in Table 6 shows different process evaluation questions and their corresponding data collection activities.

**Table 6. Process Evaluation Matrix**

Process Evaluation Questions	Process Evaluation Activities	Process Evaluation Resource Requirements
Did the environmental strategy follow the basic plan for implementation?	Monitoring environmental strategy outputs	Expertise: Low Time: Low
What are the demographic characteristics of the participants?*	Demographic and risk factor assessment	Expertise: Moderate Time: Moderate
What are the participants' levels of satisfaction?*	Satisfaction surveys	Expertise: Moderate Time: Moderate
	Focus groups	Expertise: High Time: Moderate
What is the staff's perception of the environmental strategies?*	Environmental strategy debriefing	Expertise: Low Time: Low
	Focus groups	Expertise: High Time: Moderate
	Interviews	Expertise: Moderate Time: Moderate
What were the strategies' levels of quality?	Monitoring implementation according to an established manual	Expertise: Moderate Time: High

\*NOTE: Not all of these questions will be relevant to each environmental strategy.

**The Process Evaluation Planning Tool**

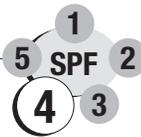
The first step in doing the process evaluation is to decide what process evaluation questions will be addressed, what tools will be used, the schedule, and the person or persons responsible. Below is the process evaluation planning tool (see also

Appendix I) that can help organize the plan for the process evaluation. Process evaluation information is specifically organized around each process evaluation question and the corresponding data collection tools and methods.

**Process Evaluation Planning Tool**

Process Evaluation Questions	Process Evaluation Tool/Method	Schedule of Completion	Person Responsible
Did the environmental strategy follow the basic plan for implementation?			
What are the demographic characteristics of the participants?*			
What are the participants' levels of satisfaction?*			
What is the staff's perception of the environmental strategies?*			
What were the strategies' levels of quality?			

\*NOTE: Not all of these questions will be relevant to each environmental strategy.



### Did the Environmental Strategy Follow the Basic Plan for Service Delivery? (Implementation Tool)

The implementation tool helps determine whether the environmental strategy was implemented according to the plan developed in Chapter 7. Monitoring the degree to which the plan was followed involves developing a careful description of what was actually done as part of the environmental strategy—what, if anything, was left out and how many people were reached. Documenting whether or not the components were carried out as intended is essential when evaluating an environmental strategy. If the environmental strategy is not carried out as designed, then it is probably not reasonable to expect that the desired outcomes of the environmental strategy will be accomplished.

The process evaluation implementation tool is designed to assess several aspects of implementation and can be useful in a wide variety of strategies (see Appendix I for a copy). Information from the planning tool is carried over into the subsequent sections of the implementation tool and customized to best fit the needs of the environmental strategy. Information is most useful when recorded during or immediately after each component or activity. Otherwise, important information that could help improve the chances of achieving results might be overlooked or forgotten.

### Monitoring Component Outputs

In this part of the implementation tool, dates of each proposed component and their **anticipated output** (as stated in the planning tool) are recorded in the appropriate column. Later, immediately after each activity is implemented, the **actual outputs** for each component are recorded in the appropriate column.

The outputs of an environmental strategy can be expressed as the %Output. This number represents a comparison of the anticipated outputs and actual outputs of a strategy. Dividing the actual output by the anticipated output and multiplying that number by 100 produces the %Output.

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

For example, if one of the planned activities was to conduct compliance checks (having youth pretend to want to buy alcohol at a store to see if the store employee appropriately verifies their age), record the dates and numbers of stores where the compliance checks were done in the columns labeled “date” and “anticipated output.” After each date, record the actual number of stores visited in the actual output column. By the end of the compliance checks, if visits to ten stores were planned and only six were attempted, the %Output would be 60 percent ( $6/10 \times 100 = 60\%$ ).

This recording form has been designed to be flexible. The level of information recorded here will vary according to each environmental strategy. 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.

**Component.** In this column, list the name of the component as stated in the planning tool.

**Date.** In the “date” column, describe the period that the information in that row represents. As stated previously, data may be aggregated across different time spans. Also, the type of date(s) recorded here may vary. For instance, it may be helpful to summarize the number of actual one-on-one meetings (e.g., with policymakers, law enforcement, media) on a weekly or monthly basis. For strategies that are delivered in a limited number of sessions (e.g., RBS training), attendance should be recorded for each session.

**Implemented as Planned?** The third column asks for a consideration of how well each component of the environmental strategy is implemented. Rate the implementation as “high,” “medium,” or “low.” If the implementation of the activity was very close to or exactly like it was planned, the rating would be “high.” If, for whatever reason, major changes occurred during actual implementation (e.g., certain barriers or practical considerations made it necessary to change the design), a rating of “low” would be appropriate.

**Anticipated Output(s).** In the fourth column, place the anticipated output(s) that were listed in the planning tool.

**Actual Output(s).** The actual outputs are listed in this column. For example, if 100 compliance checks were scheduled but only 80 were conducted, 100 compliance checks would be the “anticipated output” and 80 compliance checks would be the “actual output.”

- Participation by session/component. This information can be considered an “output”; therefore, the person responsible should keep records or attendance logs of who attended. This information can be entered into a database along with outcome evaluation data.

**%Output Actual/Anticipated.** Divide the actual output by the anticipated output and multiply by 100. Place that number in this column.

**Progress, Problems, and Lessons Learned.** Successes, challenges, barriers, changes to the environmental strategy, and other lessons learned with regard to activities should be recorded in this column.

### Planning Activities

Using the planning activities from the planning tool, the implementation tool monitors whether these tasks were completed in a timely manner.

**Components, Key Planning Activities, Dates Scheduled to Complete Activity.** The specific component, the corresponding planning activity, and dates by which the activity was to be completed should be taken from the planning tool and reprinted here.

**Actual Date of Completion.** The date that the planning activity was actually completed should be entered here.

**Progress, Problems, and Lessons Learned.** Successes, challenges, barriers, changes to the program and other lessons learned with regard to the completion of planning activities should be recorded under “Progress, Problems, and Lessons Learned.”

### **Collaboration Partners**

In this part of the implementation tool, address the extent to which the environmental strategies have achieved expected collaboration. There are three sections for this information:

**Anticipated Partner/Anticipated Role.** The anticipated partners are identified in the planning tool. Collaboration partners and their roles are copied into the anticipated partners and anticipated roles sections, respectively.

**Actual Partner/Actual Role.** In these columns, differences between the actual and anticipated partners and roles identified in the plan are documented. Agencies or organizations that became partners after the environmental strategy was initiated or after the plan was submitted may be identified here. When an anticipated partner does not collaborate as planned, this should be documented and explained in greater detail under “Progress, Problems, and Lessons Learned.”

**Progress, Problems, and Lessons Learned.** Successes, challenges, barriers, changes to the environmental strategy and other lessons learned with regard to the collaboration partners should be recorded under “Progress, Problems, and Lessons Learned.”

### **Progress, Problems, and Lessons Learned**

For each part of the implementation tool, space is provided under “Progress, Problems, and Lessons Learned” to document the successes and challenges experienced during the implementation of an environmental strategy. Documenting and reviewing the progress, problems, and lessons learned on a regular basis help to keep track of the ways in which the environmental strategy can be improved to increase the likelihood of positive results.

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

- Looking for barriers, obstacles, and challenges to an environmental strategy is an opportunity to make improvements.
- Recording challenges and successes helps to avoid pitfalls in future implementation of similar environmental strategies, both for the organization and others that might plan a similar environmental strategy.

There are two issues to be considered in the “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 environmental strategy.
- The second involves thoughtful consideration of areas in need of attention. These questions should be addressed regularly in any environmental strategy.

How often to address these questions will vary from environmental strategy to environmental strategy, but it is important to ask these questions frequently and to keep a written record of how these questions are addressed. For example, when conducting compliance checks, it may be that law enforcement is not visiting as many rural or repeat offender businesses as planned. Then, it may be useful to rethink some of the planning activities and make necessary changes to ensure that a larger number of targeted participants is being reached.

### **What is the Participants' Satisfaction? (Satisfaction Surveys and Focus Groups)**

One aspect of a process evaluation is to assess levels of satisfaction. Two ways to assess participants' satisfaction are to administer brief surveys to the participants or to conduct a focus group. Satisfaction measures will be more appropriate (and meaningful) for environmental strategies that have some level of training (e.g., RBS).

### **What Is the Staff's Perception of the Environmental Strategy? (Debriefing, Focus Groups, Interviews)**

Staff and volunteers are often in an excellent position to comment on how well an environmental strategy is being implemented. Although they may be somewhat biased, they still can provide a different view from “the trenches” that can be useful for improvement. There are three methods for gathering data on staff perspectives: debriefing, focus groups, and interviews.

#### **Debriefing**

A straightforward way to conduct a debriefing is for staff to meet immediately after a strategy (or a session) has been conducted and answer the following two questions:

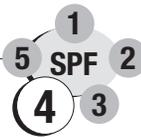
- What factors facilitated implementing this strategy?
- What factors were barriers to implementing this strategy?

#### **Focus Groups**

Details about conducting focus groups are described in Chapter 2. Protocols for focus groups, including questions that can be customized, are available free of charge from *Getting To Outcomes 2004* (Chinman, Imm, & Wandersman, 2004).

#### **Interviews**

Using a similar type of questioning as in a focus group, but doing so with just one person, an interview can be a way to get detailed information about implementation. There should be a limited number of questions asked and the structure of the interview should be a funnel. Specifically, each major topic



should start with broad questions (e.g., What did you think about the keg registration policies?) and get more specific (e.g., How has the coalition used keg registration policies to determine who bought alcohol for youth?). Data can be analyzed by looking for the number of times specific themes appear in the transcripts or notes. Some examples of interview questions are

- What were some barriers to implementing the environmental strategy?
- What were some facilitators to implementing the environmental strategy?

- How could the environmental strategy be improved?
- What is working well in the environmental strategy?
- Are there aspects of the environmental strategies that were planned but not implemented? Why?
- To what extent did changes occur from the initial plan? Why?
- What should be done differently the next time the environmental strategy is implemented?

### What Was the Quality of Implementation?

Researchers have developed specific procedures to follow when implementing certain evidence-based environmental strategies. For example, manuals are available for many of the strategies, including RBS training, sobriety checkpoints, keg registration, and compliance checks, that lay out specific procedures to follow to get the best results. Monitoring implementation of these strategies to see if those procedures are being followed is how the group can ensure a high level of quality.



## South Carolina Alcohol Enforcement Team

### AET Process Evaluation Planning Tool

Process Evaluation Questions	Process Evaluation Tool/Method	Schedule of Completion	Person Responsible
Did the environmental strategy follow the basic plan for implementation?	Implementation tool	Regularly	AET liaison
What are the demographic characteristics of the participants?*	None		
What are the participants' levels of satisfaction?*	None		
What is the staff's perception of the environmental strategies?*	None		
What were the strategies' levels of quality?	AET process logs documenting details of the compliance checks	After each compliance check	AET team and AET liaison

\*NOTE: Not all of these questions will be relevant to each environmental strategy.

### Monitoring Component Outputs

Component	Date	Implemented As Planned? (High, Medium, Low, No)	Anticipated Output(s)	Actual Output(s)	% Output Actual/Anticipated
Compliance check operations	Begin August 2003–May 2004	Medium	20 checkpoints per month	Average: 25 per month	125%

### Progress, Problems, and Lessons Learned Regarding Environmental Strategy Outputs

Although the average number of compliance checks for the ten months was at 125 percent (more than anticipated), it is noteworthy that no compliance checks were conducted during two months (December 2003 and April 2004). The holiday season, including vacation time for the AET officers, contributed to

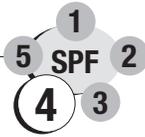
the lack of compliance checks in December. In April 2004, issues of financial obligations emerged, so officers could not perform their duties without knowing how they would be paid. These issues were resolved fairly quickly, but they did result in no operations done in April 2004.

## Planning Activities: Component 1

Component	Key Planning Activities	Dates Scheduled to Complete Activity	Actual Date of Completion
Compliance check operations	1. Determine type of compliance check	June 2003	June 25, 2003
	2. Make decisions regarding <ul style="list-style-type: none"> <li>a. Type of alcohol to purchase</li> <li>b. One vs. two officers</li> <li>c. One vs. multiple buyers</li> <li>d. Viewing the buyer(s)</li> <li>e. Buyer compensation (paid vs. volunteer)</li> <li>f. Immediate vs. delayed post-buy attempt contact</li> </ul>	By July 31, 2003	July 28, 2003
	3. Select sites to be checked	July 2003–ongoing	On track
	4. Review plan with the prosecuting Attorney and the city council/licensing authority	Completed April 2003	April 22, 2003
	5. Recruit and train youth volunteers	May 2003	June 6, 2003
	6. Logistics: Develop the specific procedures for each compliance check (plan every step of the scenario, from where to park the car to developing a plan for the potential response of each employer) <ul style="list-style-type: none"> <li>a. Plan routes—establish target lists with specified criteria (random, region, etc.)</li> <li>b. Schedule buyers and officer(s)</li> <li>c. Obtain and document cash for purchases</li> </ul>	July 2003–ongoing	July 2003–ongoing
	7. Implement the compliance check according to protocol	August 2003–May 2004	Monthly, as planned, except for 12/03 and 4/04
	8. Complete reports and refer to appropriate authority for criminal or administrative charges	August 2003–May 2004	Monthly, as planned, except for 12/03 and 4/04

### Progress, Problems, & Lessons Learned (i.e., barriers to implementation)

Need to work to streamline the documentation process so that officers can more easily get the paperwork finished.



## Collaboration Partners

Anticipated Partner	Actual Partner	Anticipated Role	Actual Role
Richland County Sheriff's Department	Same	Recruit officers for the AET; offer support regarding their efforts	Same
Chapin Police Department	Same	Recruit officers for the AET; offer support regarding their efforts	Same
Lexington/Richland Alcohol and Drug Abuse Council, The Behavioral Health Center of the Midlands	Same	Organize training for officers with PIRE; recruit and train undercover youth; meet regularly with AET officers; process paperwork for payment to officers and youth; collect data for ongoing monitoring and evaluation	Same
Community coalition (community roundtable)	Same	Provide financial and nonfinancial support; review data	Same
Pacific Institute for Research and Evaluation (PIRE)	Same	Provide training and ongoing technical assistance	Same
South Carolina Department of Alcohol and Other Drug Abuse Services	Same	Provide project funds from the Enforcing Underage Drinking Laws federal initiative	Same
Dr. Pamela S. Imm, Evaluator	Same	Analyze data; write reports	Same

### Progress, Problems, & Lessons Learned Regarding Collaboration

The partnership for this initiative has been strong. There is an interest in expanding the AET teams into other jurisdictions. The state ATOD agency is planning to replicate the model throughout South Carolina.

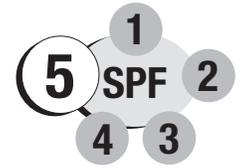
### CHECKLIST FOR ACCOUNTABILITY QUESTION: Process Evaluation

#### Make sure the community has...

- Tracked actual duration for each component.
- Tracked actual attendance for each component.
- Measured characteristics of the environmental strategy.
- Measured participant characteristics (e.g., age, race, sex).
- Measured participant satisfaction (where applicable).
- Measured how well the implementation followed the plan.
- Ensured that cultural competency was addressed in this accountability question.



# STRATEGIC PREVENTION FRAMEWORK STEP 5: MONITOR, EVALUATE, SUSTAIN, AND IMPROVE OR REPLACE THOSE STRATEGIES THAT FAIL



## CHAPTER 9 Accountability Question:

How well are the strategies working in the comprehensive plan to reduce underage drinking? (Outcome Evaluation)

### Definition of an Outcome Evaluation

In this guide, outcomes are changes that occur as a result of an environmental strategy. An outcome evaluation provides data to document whether or not the environmental strategies are effective at making progress toward the longer-term goals in Chapter 3.

### Why Is Conducting an Outcome Evaluation Important?

Evaluating the desired outcomes answers important questions such as

- How well did the environmental strategy work?
- Should the environmental strategy continue?
- What evidence proves that funders should continue to spend their money on this environmental strategy?

### How to Conduct an Outcome Evaluation

There are several steps that need to be taken when conducting an outcome evaluation. First, identify what will be measured. Will it be a reduction in the number of successful youth alcohol buys during compliance checks? A reduced number of youth alcohol crashes related to alcohol use? Reduced DUI rates among adults? The adoption of a new GDL policy? Next, determine the design of the evaluation. Deciding on an evaluation design typically includes establishing what will be measured and when. Then decide the methods to be used in the evaluation and develop a plan to put those methods into place. Finally, analyze the data and interpret the findings. There are many different types of measures, designs, and methods to analyze data, which are described in some detail below.

### What Are the Best Types of Outcomes to Measure?

Outcomes can be measured from the start of an environmental strategy to months and, sometimes, even years beyond an environmental strategy's official conclusion. These changes can occur and be measured at multiple levels such as individual, family, demographic subgroup (e.g., high school students, college students, parents), school, and communities. It is preferable to aim for reaching outcomes that

- reflect actual behaviors (as opposed to only knowledge)
- cover larger groups of people (e.g., entire communities versus one school)
- are demonstrated over long periods of time (as opposed to those that can disappear quickly).

When deciding on outcomes, make sure to

- *Identify realistic outcomes.* Focus on what the environmental strategy can realistically accomplish. Do not expect to achieve outcomes for the entire state if there are plans to implement a new anti-DUI campaign in just ten communities.
- *Make the outcomes specific.* Translate the environmental strategy targets into something that is specific and measurable (e.g., improvements in merchants' beliefs that it is good business not to sell to minors, percentage of successful buys during compliance checks).
- *Have at least one measure for each outcome.* Although one measure for each outcome is necessary, it is actually better to have more than one measure because not all outcomes can be adequately expressed in just one way. Various data sources may result in different interpretations of the outcomes. When different data sources (e.g., statistics collected by the public health department, compliance check buy rates, surveys) all agree, then there is more confidence in the conclusions. It is also helpful to look at the evidence-based literature to determine how others have assessed similar environmental strategies.
- *Use the most efficient measure.* When conducting an evidence-based environmental strategy, it is advantageous to use data that have already been collected (e.g., DUI arrest rates, crime data) or instruments that have already been created and used successfully in similar settings. If there is no particular measure available, it may be necessary to create one. Although there are volumes written about how to design and administer surveys, the American Statistical Association has several brochures about survey research on its Web site (<http://www.amstat.org/sections/srms/whatsurvey.html>), including the following
  - how to plan a survey
  - how to collect survey data
  - designing a survey
  - telephone surveys.
  - mail surveys
  - pretesting surveys (administering the survey to a few people to work out the bugs).

Additionally, the Evidence-Based Environmental Strategies section of this guide provides tools and forms that can be used

for planning, implementing, and evaluating the ten evidence-based strategies.

### What are Examples of Some Specific Outcomes That Should Be Measured?

What is measured will be determined based on the types of environmental strategies implemented. In some cases, an outcome may be the passage of a law or an ordinance that supports the strategies (e.g., passage of a GDL law). One helpful way to think about different types of outcomes is how immediately the outcome in question is expected to occur after the strategy is implemented. For example, some common outcomes for environmental strategies are the short-term results of changes in laws and policies, such as

- reduced access to alcohol by underage youth
- more responsible serving practices
- decline in the number of alcohol licenses issued
- decline in the number of conditional use permits utilized when granting alcohol licenses
- increase in the number of alcohol outlets in compliance with conditions needed to maintain alcohol sales permits (e.g., RBS)
- increase in the number of alcohol outlets that implement happy hour restrictions
- increase in the number of public events that restrict access to alcohol
- decrease in availability of alcohol to youth at special events and in public places (e.g., number of patrons under age 21 being able to purchase, get, or consume alcohol).

While these shorter-term outcomes are important to measure, they are not the same as changes in the actual rates of underage drinking and its consequences (e.g., arrests, deaths). It is possible to have a shorter-term outcome (e.g., better enforcement) that actually suggests a worsening in the longer-term outcome (e.g., arrests rates). For this reason, it is important to track the process and the quality of implementation of the environmental strategy and to measure both short- and long-term outcomes. Examples of longer-term outcomes of underage drinking consequences could include

- rates of DUI arrests and convictions
- the distance between each alcohol outlet and a school or other youth-related area
- the distance between each alcohol outlet
- number of calls to law enforcement complaining of incidents related to specific alcohol outlets (e.g., fighting)
- number of emergency room admissions that involve alcohol.

### Select an Evaluation Design to Fit the Environmental Strategy

Some environmental strategies lend themselves more readily to traditional evaluation designs that involve a measurement

before and immediately after an intervention (called a pre-post design). These strategies are likely to include RBS, compliance checks, and training or education workshops associated with any of the ten environmental strategies. Many of the environmental strategies would be better evaluated by taking several measurements before and then several after the completion of the strategy. This is called an “interrupted time series” and is discussed later in this chapter. Finally, a third approach is tracking the changes in the community that occur as a result of environmental strategies (e.g., social host liability laws, reduced access to alcohol at sporting and community events). This type of evaluation, tracking of community changes, is discussed in this chapter.

### Pre-Post Designs

When conducting an environmental strategy, the evaluation questions will determine the design. For example, if the coalition wants to assess change in the target population, then a simple pre-post test design would be appropriate. Since there may be many other factors impacting the target population that are not related to the environmental strategy, the coalition will not be able to determine with certainty the extent to which the environmental strategy contributed to the change. If there is a need to determine whether the environmental strategy caused the outcomes, then a more rigorous design is required (e.g., pre-post test with comparison or control group). In many cases, community resources are not sufficient to accurately utilize these designs. However, if the plan has multiple strategies that are showing consistent positive outcomes over time, even using only a pre-post design, it

is possible for a coalition to claim to have had some impact on outcomes.

**Pre-Post.** This design involves comparing a baseline measurement (i.e., done before any action is taken) to a measurement taken after completion of an environmental strategy. This measurement must be the same exact measurement, taken in the same way, to be comparable. Make sure to allow enough time for the environmental strategy to demonstrate outcomes before the post-completion measurement is taken. Although this design can determine the amount of change in the outcome of interest, it is difficult to conclude with certainty that it was the environmental strategy that was responsible for the changes in the outcomes. There may be many other reasons why an outcome changes that have nothing to do with an environmental strategy, such as changes in local enforcement policies or laws, new environmental strategies, media campaigns, or even the state of the economy. If there is a need to determine whether the environmental strategy caused the outcomes, then a more rigorous design is required (i.e., pre-post test with comparison or control group). In many cases, communities do not have enough resources to utilize these designs. However, if the plan has multiple strategies that all show consistent positive outcomes over time using only a pre-post design, it is possible for

**REMEMBER, unlike most school- or individual-based programs, it is likely that even a well-implemented environmental strategy will take a long period of time to show the desired outcomes expected—anywhere from six months to three years (Pentz, 2000).**

a coalition to claim to have had some impact on achieving these positive results.

In Appendix O, Figure 6 shows the results of an evaluation of a hypothetical community coalition’s sobriety checkpoint strategy. As specified in the pre-post design, the community coalition gathered data on the outcome they were most interested in (annual number of alcohol-related motor vehicle crashes) for the year before they started the checkpoints and then a year after they conducted the checkpoints. The figure shows that the number of crashes went down sharply. Again, however, although the results are encouraging, it is possible that there may be other reasons for this decline that have nothing to do with implementing the checkpoints.

**Retrospective Pre-Post.** This is a special case of the pre-post design in which participants at the end of an environmental strategy rate themselves currently and then, remembering back to what they were like before the environmental strategy started, make a rating based on that memory. This design has certain advantages:

- Administering the measure only once reduces burden to the participant and cost to the evaluation.
- There is no need for names or codes to track participants over time, which better ensures confidentiality.

In contrast, this design has all the drawbacks of the standard pre-post plus a new one: It may be difficult for participants to accurately remember how their behavior was before the environmental strategy started.

**Pre-Post with a Comparison Group.** The way to have more confidence that the environmental strategy was responsible for the changes in outcomes is to also assess a group similar to the target group that did NOT receive the environmental strategy (called a comparison group). In this design, assess both groups at the beginning (baseline), deliver the environmental strategy to one group (called the intervention group), and then measure both groups after. The challenge is to find a group that is similar to the environmental strategy group in terms of demographics (i.e., gender, race/ethnicity, socioeconomic status, education, etc.) and the situation that makes them appropriate for the environmental strategy (e.g., both groups are college males at higher risk for DUI). The more alike the two groups are, the more confidence there is that the environmental strategy was responsible for the changes in the outcomes.

Although having a comparison group may help answer the question as to whether the strategy had an impact, it does not completely answer the questions about whether the environmental strategy caused that change. There still could be other reasons, such as the two groups being different in some way (different ages, races, levels of risk) that affected the outcomes.

In Appendix O, Figure 7 shows the results of the same evaluation, this time including in the evaluation a similar com-

munity that did not implement sobriety checkpoints. As specified in the pre-post with comparison design, data from the first community are compared to those of this comparison community. In our example, while the number of crashes has declined in the community with the checkpoints, the number of crashes in the community without the checkpoints remains essentially unchanged after a year. This graph shows how having a comparison group can provide additional confidence that it was the intervention (in this case, the sobriety checkpoints) that caused changes.

**Pre-Post with Control Group.** In this design, there is random assignment of individuals or communities to either a control group or an environmental strategy group from the same overall target population. Random assignment means that each person or community has an equal chance of winding up in either group. Sometimes it is possible to randomly assign larger groups, such as whole schools, if working with a large enough number. A control group is a special type of comparison group (a group of people who are like the environmental strategy group but do NOT receive the environmental strategy). This is the best-known way to ensure that both groups are equal; therefore, this design gives the most confidence to claim that the environmental strategy caused the outcomes that were measured rather than some other preexisting differences between the control and environmental strategy group. However, this design is the most complicated and difficult to create.

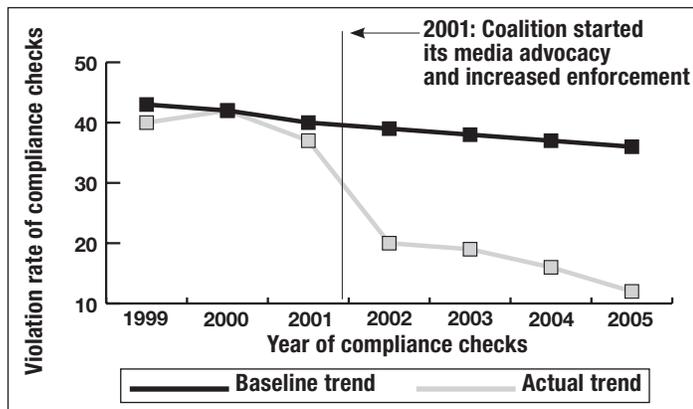
### *Interrupted Time Series*

Although the traditional evaluation designs discussed above can be useful, environmental strategies can also require different approaches to evaluate outcomes for a couple of reasons. First, the outcome of interest is often “archival” data—the type that has been collected the same way for years by groups such as police departments (e.g., number of DUIs, alcohol-related crashes). Second, environmental strategies can take a long time to show effects. These reasons make environmental strategies ideal candidates for a different kind of evaluation approach, called “interrupted time series” designs.

Interrupted time series designs require monitoring the same data over many points in time *before* the start of the environmental strategy and then monitoring the same data over many points in time after the start of the strategy. A straightforward way to analyze interrupted time series data is to graph it using programs such as Microsoft® Excel® or Powerpoint®. Figure 4 shows hypothetical data about the violation rate of compliance checks. In this example, the coalition collected violations data for several years before they took action (conducted a media campaign about dangers of underage drinking and persuaded local police to increase enforcement). The darker line shows the trend for the years before the coalition started its strategy (called a baseline trend line). In this graph, the baseline trend line is extended through the period after the coalition started its work to provide an estimate of what the violation rate would have been each year if the baseline trend had continued. This trend line can easily be plotted with PowerPoint. When an environmental strategy has an immediate effect, there will be a dramatic shift in the data being monitored (e.g., violation rate of compliance checks). As can be seen in this example, there

was a dramatic drop in the violation rates from the compliance checks the year after the coalition started its strategies (2001, indicated by the vertical line). This design also shows long-term effects. In this example, the rate of violations continued to be lower over several years. Simply observing the difference between the estimated baseline trend line of violations and the actual violation rate shows that the coalition had an impact. Not all data will be this obvious and there are sophisticated statistical methods that can be used in addition to this “graphical” method.

**Figure 4. Violation Rate Compliance Checks**



This design can also be done with a comparison group (a similar group NOT receiving the environmental strategy). In the case of the comparison group, it would be expected that its trend line after the start of the environmental strategy would be similar to the trend line before the start of the environmental strategy. This is not always the case, however, and sometimes comparison groups change in ways that are difficult to interpret.

### Assessing Community Changes

Another way to evaluate environmental strategies is to systematically track the number of permanent positive contributions a coalition makes to underage drinking practices and policies. Initially developed by the Kansas Work Group (Francisco, Paine, & Fawcett, 1993), the Tracking of Community Changes method involves maintaining event logs of these community changes. Community changes are defined as new or significantly modified programs, policies, or practices in the community—facilitated by the community coalition—that will be beneficial in preventing underage drinking. Event logs documenting each of these changes are then converted into a cumulative chart from month to month (with flat lines indicating no activity) so that trends can be assessed over time.

Appendixes J and K contain two forms that can help track community changes—the community change event log and the community change summary. When maintaining month-to-month tallies of the number of community changes, count only the first instance of a new program (e.g., implementation of RBS training) or practice (e.g., sobriety checkpoints become a regular part of law enforcement practice). Also, a change in policy (ordinance, law) constitutes a community change upon its implementation date, as opposed to when it was passed. Not

all first-time events are community changes; the event must meet all parts of the definition of a community change. For example, a member of a coalition attending a meeting for the first time is probably not a community change since it is not a new or modified program, policy, or practice of an organization. Appendix M contains a meeting contact form that can be used to help track meetings.

### Instructions for Using the Community Change Event Log

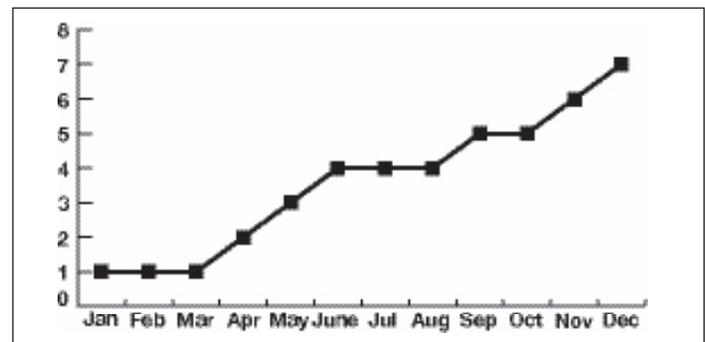
Record information about the community change in the community change event log, including answers to the questions in each column. Since these changes can take a while to emerge, it is possible to track each one as it happens. The questions in the event log are designed to help determine whether there is a genuine community change or an event that is really a step toward a community change. The event log helps to ensure that it was the efforts of those working on the plan that caused the change and it is linked to the desired outcomes.

Community change must meet all of the following criteria:

- Events must have actually occurred, not just planned.
- Events must include community members external to the initiative or outside the committee or subcommittee advocating for change.
- The events are related to the coalition’s goals and specific outcomes.
- The events involve new or modified programs, policies, or practices of governmental bodies, agencies, businesses, and other sectors of the community.
- The events are facilitated by individuals who are members of the coalition or are acting on behalf of the comprehensive plan to reduce underage drinking.

The community change summary form is designed to help tally all of the community changes each month. There is room to record the number of changes as well as a brief description that will be shorter than that recorded in the event log. From this summary worksheet, construct graphs of the changes to show stakeholders, funders, and other constituents. It is recommended to construct cumulative graphs, in which each month builds on the months before it. In Figure 5, the community coalition had one change in January, then another in May (a total of two) and so on, so that by December, there were seven changes recorded since January. This graph shows that this community coalition is slowly achieving community changes related to its goals.

**Figure 5. Community Change Summary**



### Choosing Methods for Measurement (e.g., Surveys, Focus Groups)

Once the design is chosen, decide how to collect the data. Table 8 highlights the strengths and weaknesses of various data collection methods. These include both quantitative and qualitative methods.

- *Quantitative methods answer who, what, where, and how much.* Emphasizing numbers, quantitative methods target larger groups of people and are more structured and standardized (i.e., the same exact procedure is used with each person) than qualitative methods.
- *Qualitative methods answer why and how and usually involve talking to or observing people.* Emphasizing words instead of numbers, qualitative methods present the challenge of organizing into themes the thoughts and beliefs of those who participate. Qualitative evaluations usually target fewer people than do quantitative methods.

**How to Choose a Design?** Although the pre-post design with control group provides the most confidence that the environmental strategy was responsible for the outcomes, it is also the most difficult to implement and the most expensive. When choosing a design, it is necessary to consider costs and level of expertise. (See Table 7.) Also, the tracking of community changes can be done in addition to any of the evaluation designs. Since the coalition will probably be doing several different strategies simultaneously, it may be that pre-post design is best for one particular strategy (e.g., RBS), an interrupted time series design for another strategy (e.g., compliance checks), and tracking community changes for another (e.g., getting a social host law passed).

**Table 7. Comparisons of the Common Evaluation Designs**

Methods	Pros	Cons	Costs	Expertise Needed to Gather and Use
Pre-post	An easy way to measure change	Only moderate confidence that the environmental strategy caused the change	Moderate	Moderate
Retrospective pre-post	Easier than the standard pre-post	Only moderate confidence that the environmental strategy caused the change AND it may be hard for participants to recall how they were at the start	Inexpensive	Low
Pre-post with comparison group	Provides good level of confidence that the environmental strategy caused the change	Can be hard to find group that is similar to environmental strategy group	High; doubles the cost of the evaluation	Moderate to high
Pre-post with control group	Provides excellent level of confidence that the environmental strategy caused the change	Hard to find group willing to be randomly assigned; ethical issues of withholding beneficial environmental strategy from control participants	High; doubles the cost of the evaluation	High
Interrupted time series	Tracks short and long-term changes	Requires several years of data collected in the same way; cannot be sure that the environmental strategy caused the change	Inexpensive (data usually collected by other sources)	Low (for simple graphical technique, statistical methods are complex)
Tracking of community changes	Documents all positive changes made by coalition	Data on number of changes not directly interpretable; only allows for general conclusions; cannot be sure that the environmental strategy caused the change	Inexpensive	Low

**Table 8. Data Collection Methods at a Glance**

Methods	Pros	Cons	Costs	Time to Complete	Response Rate	Expertise Needed
Interviews—face-to-face and open-ended	Gather in-depth, detailed information; information can be used to generate survey questions	Takes much time and expertise to conduct and analyze; potential interview bias possible	Inexpensive if done in-house; can be expensive to hire interviewers and/or transcribers	About 45 min. per interview; analysis can be lengthy depending on method	People usually agree if it fits into their schedule	Requires good interview/ conversation skills; formal analysis methods are difficult to learn
Open-ended questions on a written survey	Can add more in-depth, detailed information to a structured survey	People often do not answer them; may be difficult to interpret meaning of written statements	Inexpensive	Only adds a few more minutes to a written survey; quick analysis time	Moderate to low	Expertise to analyze content
Participant observation	Can provide detailed information and an “insider” view	Observer can be biased; can be a lengthy process	Inexpensive	Time consuming	Participants may not want to be observed	Requires skills to collect and analyze the data
Archival research	Can provide detailed information about an environmental strategy	May be difficult to organize data	Inexpensive	Time consuming	Participants may not want certain documents reviewed	Requires skills to analyze the data
Focus groups	Can quickly get information about needs, community attitudes and norms; information can be used to generate survey questions	Can be difficult to run (need a good facilitator) and analyze; may be hard to gather 6 to 8 people together	Inexpensive if done in-house; can be expensive to hire facilitator	Groups last about 1.5 hours	People usually agree if it fits into their schedule	Requires good interview/ conversation skills; technical aspects can be learned easily
Observation	Can see an environmental strategy in operation	Requires much training; can influence participants	Inexpensive; only requires staff time	Quick, but depends on the number of observations	Not an issue	Need some expertise to devise coding scheme
Self-administered surveys	Anonymous; inexpensive; easy to analyze; standardized, so easy to compare with other data	Results are easily biased; misses info.; dropout is a problem for analysis	Moderate	Moderate, but depends on system (mail, distribute at school)	Moderate, but depends on system (mail has the lowest)	Little expertise needed to give out surveys; some expertise needed to analyze and interpret the data
Telephone surveys	Anonymous; inexpensive; easy to analyze; standardized, so easy to compare with other data	Results are easily biased; misses info.; dropout is a problem for analysis	More than self-administered	Moderate to high	More than self-administered	Need some expertise to implement a survey and to analyze the data
Face-to-face structured surveys	Same as paper and pencil, but you can clarify responses	Same as paper and pencil but requires more time and staff time	More than telephone and self-administered surveys	Moderate to high	More than self-administered survey (same as telephone survey)	Need some expertise to implement a survey and to analyze and interpret the data

**Table 8. Data Collection Methods at a Glance (continued)**

Methods	Pros	Cons	Costs	Time to Complete	Response Rate	Expertise Needed
Archival trend data	Quick; inexpensive; a lot of data available	Comparisons can be difficult; may not show change over time	Inexpensive	Quick	Usually very good but depends on the study that collected them	No expertise needed to gather archival data, some expertise needed to analyze and interpret the data
Record review	Objective; quick; does not require environmental strategy staff or participants; preexisting	Can be difficult to interpret; often is incomplete	Inexpensive	Time consuming	Not an issue	Little expertise needed; coding scheme may need to be developed

*Surveys.* A survey is a collection of questions that are asked of each respondent (those who are completing the survey) in the same exact manner, and each one of those questions usually has a fixed set of possible responses from which to choose. Surveys can be administered by mail, face to face, or over the telephone. The major benefit of surveys is that since respondents all face the same questions, their answers can be easily compared.

**Key Leader Survey**

One type of survey that can assess the immediate impacts of efforts to improve community awareness, concern and action

around preventing underage drinking is a key leader survey (see Table 9). This involves surveying people within a community who are likely to be “key leaders” who know about the community’s level of awareness, concern, and action around preventing underage drinking. Key leaders are valuable resources of information because of their position, expertise, and familiarity with the community. They are in a “key” position to observe the impact of environmental strategies and are usually able to influence local policies. When resources are limited, as is often the case with community efforts, surveying influential people who have knowledge of local practices can be a useful way to get information about community aware-

**Table 9. Key Leader Survey Tool**

Sectors	Key Leader Positions
Education	School administrators, principals, board members/chairs, PTA president, education association president
Prevention	DARE officers, MADD chapter president
Community/ Human services	Legal services director, department of social services director, department of youth services director, housing authority director, child and family services director, Boy and Girl Scout leaders, local chapter NAACP director, senior citizens association director, YMCA directors
Religious	Ministers, pastors, reverends, rabbis, clerics, president of the ministerial association
Government/ elected officials	County council members, judges, mayors
Law enforcement	Crime prevention officer, parole and corrections officers, county sheriff, city police chief
Civic/business organizations	Presidents of neighborhood councils, chamber of commerce, Jaycees, Rotary, Kiwanis, women’s clubs, American Legion post commander
Medical/health	County hospital administrator, director of substance abuse treatment center, nurse supervisor of county health department, president of medical society
Public information	Editor of local newspaper, county public information officer, recreation department director

ness, concern, and level of action regarding underage drinking. While not the same as assessing rates of underage drinking (the ultimate desired outcome), changing awareness, concern, and action around preventing underage drinking can be viewed as an immediate outcome that can lead to changes in underage drinking rates.

The first step in conducting a key leader survey is to identify which key leaders to survey. Relevant to underage drinking, the key leaders in Table 9 could be considered.

A copy of a key leader survey that can be modified for underage drinking is available from the National Institute on Drug Abuse (Kumpfer, Whiteside, & Wandersman, 1997).

*Archival Trend Data.* Archival data are existing data that are typically collected at similar points in time. Usually, there are national, regional, state, and local sources (e.g., health departments, law enforcement agencies, CDC). These data are usually inexpensive and may be fairly easy to obtain. Several examples include rates of DUI arrests, unemployment rates, and current laws and policies. Many sources can be accessed using the Internet. However, there may be little choice in the data format, since someone else probably collected the data for another purpose.

*Observations.* Observations involve watching others (sometimes without their knowledge) and systematically recording the frequency of their behaviors according to preset definitions (e.g., number of times that convenience store personnel ask for proper identification of their customers). This method can require a great deal of training for observers to be sure that each behavior is recorded in the same way.

*Record Review.* A record review uses existing records from different groups or agencies (e.g., arrest reports, medical records) as a data source. Record reviews usually involve counting the frequency of different behaviors. When monitoring the keg registration strategy, one community did a record review showing where adolescents who were arrested for underage drinking stated that they obtained the alcohol.

*Focus Groups.* For more information on focus groups, see the description in Chapter 2.

*Interviews.* Both structured and unstructured interviews are designed to obtain very rich and detailed information. In a more unstructured interview, the interviewer guides the participant through the questions but allows the interview conversation to flow naturally, encouraging the participant to answer in his or her own words. The interviewer will often ask follow-up questions to clarify responses and to get more information. In more structured interviews, a detailed protocol is produced to help guide the interviewer to ask follow-up questions based on initial responses from the informant. In either case, it takes a great deal of skill to conduct an interview and analyze the data, so adequate training is necessary.

*Open-Ended Questions on a Self-Administered Survey.* Usually, at the end of a self-administered survey, open-ended questions ask those being surveyed to write their responses in sentences or phrases. This content can be analyzed similarly to focus group data (i.e., look for themes).

### **Determine Who to Assess**

Usually, selecting the design and measures also involves deciding who to assess. If conducting a session on RBS for 25 merchants, then it is definitely practical to assess everyone in the training. If the environmental strategy is a communitywide media campaign, it is virtually impossible to assess everyone in the community, so a sample of the overall population should be measured. In general, the more similar the sample is to the overall population, the more confidence you have that the results of the sample can generalize to the overall population. For example, a representative sample of high school students exposed to a communitywide, anti-DUI media campaign might include

- some high school students from each grade of high school in the district
- equal numbers of males and females
- a reflection of the ethnic/racial makeup of the community. If the community is 50 percent white, 35 percent African American, and 15 percent Hispanic, then aim to have a sample with the same proportions of demographic characteristics.

If archival data is used, then there will not be a choice of who to assess. The data will reflect all of those who fall into a certain category, such as all of the people who were reported to be in an alcohol-related motor vehicle crash.

### **Determine When to Conduct the Assessment**

The timing of the measurements is important and will result from the evaluation design. If the design is a pre-post design, conduct the measurement before the environmental strategy and then after the environmental strategy is completed. The measurement of change right after the end of the environmental strategy is an intermediate outcome and will show whether the environmental strategy did what it claimed it would do (e.g., improved merchants' ability to correctly ID customers in their stores). If there are enough resources, it is advantageous to follow up with participants over time (e.g., six months, one year later). This is because measuring change only in the short term may not accurately reflect the success or failure of the environmental strategy over time. In many cases (especially merchants, bartenders, etc.), there is frequent turnover, so tracking over time is not usually feasible. In other cases, as in the interrupted time series, measurements will be made several times before and after the start of the environmental strategy.

### **Gather the Data**

Determine who will collect the data regardless of the method used. Whoever is chosen may affect the results. Will the participants feel comfortable with the person chosen? Will they provide honest information or will they try to look good? Can the person gathering the data be as objective as the task requires? Important issues arise in data collection regardless of the method used. These include confidentiality, anonymity, and informed consent. Detailed information on these issues can be found in *Getting To Outcomes 2004* (Chinman, Imm, & Wandersman, 2004).

using qualitative methods, such as focus groups, it is common to use qualitative data analyses methods, such as content analyses. See the table Table 10 for the designs discussed here, various data collection methods, and the corresponding types of analyses that can be used. In many cases, it will be worthwhile to consult an expert in data analysis procedures to ensure that the appropriate techniques are used.

### Interpreting the Data

To reach outcomes, environmental strategies need to be both well implemented and based on a good theory. Activities that are based on a premise that is flawed, even if implemented perfectly, will not produce outcomes. For example, even if a pamphlet

### Analyze the Data

Just as there are quantitative and qualitative data collection methods, there are also quantitative and qualitative data analysis methods. When using quantitative data collection methods, such as surveys, it is common to use quantitative data analysis methods, such as comparing averages and frequencies. When

**Table 10. Linking Design, Collection, and Analysis at a Glance**

Design	Data Collection Method	Data Analysis Method	# of Groups
Pre-post	Surveys/archival trend data/ observation/ record review	<b>Compare Averages.</b> Compare change over time by looking at the % change from pre to post scores or change in an average score on a measure from pre to post  <b>Frequencies.</b> Eyeball different categories of knowledge/skills/behavior at two points in time	One (the group receiving the environmental strategy)
	Focus groups/open-ended questions/interviews/participant observation/archival research	<b>Content Analysis.</b> Look for changes in themes over time	
Pre-post with comparison group  Or Pre-post with control group (random assignment)	Surveys/archival trend data/ observation/ record review	<b>Compare Means.</b> Compare the comparison group's % change on a measure from pre to post with the environmental strategy group's % change from pre to post  Or compare both groups' average change scores from pre to post  <b>Frequencies.</b> Eyeball different categories of knowledge/skills/behavior of the two groups at two different times	Two (the group receiving the environmental strategy and a similar group NOT receiving the environmental strategy)
	Focus groups/open-ended questions/Interviews/ participant observation/archival research	<b>Content Analysis.</b> Look for change in themes over time and the difference between groups	
Interrupted time series	Surveys/archival trend data/ observation/ record review	<b>Content Analysis.</b> Eyeball the trends from before and after the start of the environmental strategy	One (the group receiving the environmental strategy)  Or Two (the group receiving the environmental strategy and a similar group NOT receiving the environmental strategy)
Tracking community changes	Event logs	<b>Assess level of achievement.</b> It is expected that after six months to a year, some changes should be evident	One (the group receiving the environmental strategy)

on the dangers of drinking and driving is distributed to every high school student in a community (good implementation), it is unlikely that this environmental strategy alone will produce changes in drinking and driving among these students. How do we know this? The evidence-based and best practice literature has shown that “one-shot” education about the dangers of alcohol does not produce behavior changes.

Analyzing data is not always as straightforward as it seems. Sometimes different data sources will tell different stories. All of the data have to be considered together to get the best picture. Also, it is useful to consider the data from the process evaluation when trying to draw conclusions from the outcome evaluation. If the process evaluation reveals poor implementation, then the theory and the plan behind the environmental strategies used may still be adequate, but they need to be better implemented the next time. On the other hand, if the implementation was good and the results were still not positive, then the theory and the plan may need to be revisited.

To interpret the findings of the evaluation, it is also important to consider other factors that might explain the outcomes obtained by your program or intervention. These other factors are sometimes called “threats to internal validity” because they make it difficult to determine whether it was the intervention or some other factor that caused a change in the outcomes of interest. For example, some evaluations track outcomes that could be expected to change (increase or decrease) merely with the passage of time and not necessarily because of an intervention. Alcohol use is one behavior that increases as adolescents get older. Other times, certain events take place in the community that may cause change when an intervention does not. In preventing underage drinking, these historical events (e.g., changes in laws, changes

in the price of alcohol) can sometimes be advantageous to your ultimate goals! Interestingly, these types of changes can lead to increased patterns of alcohol use as a result of improved enforcement of driving laws, sanctions of offenders, and improved community action. Therefore, these potential patterns of results make it critically important that the coalition and its leadership be able to document the historical and community events that expectantly and unexpectedly occur. Using comparison sites—i.e., a similar community that is not addressing underage drinking—is one way to more accurately judge the impact of your efforts and interpret the results. For example, if after a program or strategy your evaluation results show an increase in alcohol use in your county (and related activities such as DUI), perhaps a comparison county may also show an increase and an even higher rate than your intervention community. Additional information on interpretation and how evaluators and community leaders should consider “threats to internal validity” is provided in the seminal work of Cook and Campbell (1979).

### Outcome Evaluation Tool

It is important for communities to have various types of information about the strategies documented. The outcome evaluation tool (see Appendix N) is designed to organize the following information:

- *Summary of the needs and resources assessments:* Briefly summarize the results of the needs and resources assessments.
- *The target group (including numbers):* Briefly state who the target population is (e.g., youth, policymakers) and how many were reached.



## South Carolina Alcohol Enforcement Team

### Outcome Evaluation Tool (Sample)

Objectives	Measures	Design	Sample Size
To improve attitudes toward making cases for underage drinking	Law enforcement survey	Pre-post	23 completed pre/post
To improve the knowledge of the laws regarding underage drinking	Alcohol merchant Survey	Pre-post	30 completed pre/post
To decrease the percentage of merchants who sell to minors	Rates of successful alcohol buys by youth	Interrupted time series	Approximately 20–40 attempted buys per month

Data Analysis Methods	Pre Scores	Post Scores	% change	Interpretation
Compare average scores from baseline to year 1	65% had “very high” commitment to enforcing and making cases	86% had “very high” commitment to enforcing and making cases	32% increase	Officers increased their commitment to enforcing and making cases.
Compare average scores from baseline to year 1	Average correct: 20%	Average correct: 60%	200% increase	Merchants increased their knowledge of the laws regarding underage drinking.
Compare average rates prior to implementation and then track over time	Baseline average “buy rate” 38%	Average “buy rate” after one year and beyond 10%	73% decrease	Youth were less able to buy alcohol from targeted merchants.

- *Desired Outcomes:* This information is available from the goals tool in Chapter 3.
- *Measures used:* Document what measures were chosen.
- *Design chosen:* Document which evaluation design was utilized.
- *Number of people who were measured in the evaluation:* How many completed the evaluation? (Skip this section if the only method was a review of archival data.)
- *Data analysis method:* How were the data analyzed?
- *Pre and post scores and their difference (if applicable):* Calculate the post score minus pre score for each participant to obtain the “difference” score between the two. Then take an average of all those difference scores.
- *Interpretation of the results:* What interpretations can be made when all of the data are considered together?

Using the outcome evaluation tool in this way can also assist when writing reports for various constituencies, including funders.

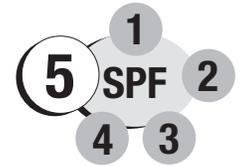
## CHECKLIST FOR ACCOUNTABILITY QUESTION: Outcome Evaluation

### Make sure the community has...

- Decided what outcomes to assess.
- Selected an evaluation design to fit the environmental strategy.
- Chosen methods for measurement.
- Decided who will be assessed.
- Determined when to conduct the assessment.
- Gathered the data.
- Analyzed the data.
- Interpreted the data.
- Ensured that cultural competency was addressed in this accountability question.



# STRATEGIC PREVENTION FRAMEWORK STEP 5: MONITOR, EVALUATE, SUSTAIN, AND IMPROVE OR REPLACE THOSE STRATEGIES THAT FAIL



## CHAPTER 10 Accountability Question:

How will we ensure that the strategies to reduce underage drinking will continuously improve over time? (Continuous Quality Improvement)

### Definition of Continuous Quality Improvement (CQI)

In this guide, CQI involves the systematic assessment and feedback of evaluation information about planning, implementation, and evaluation to continuously improve the environmental strategies.

### Why Are CQI Strategies Important?

CQI has gained popularity in industry and is gaining wide acceptance in health and human services agencies (Deming, 1986; Juran, 1989). Evaluation conducted in this manner is not just documentation—it is part of a feedback mechanism that can guide future planning and implementation. In addition, the following illustrates the importance of CQI:

- Documenting what worked well when conducting environmental strategies helps to ensure that future implementation will also be successful.
- Assessing what did not work well helps identify needs for improvement. This also includes identifying what did not work well for specific types of people (e.g., college students).
- Coalition staff and community members who are open to learning from their evaluation—by obtaining and using feedback—will continuously implement increasingly more effective strategies.

### How to Implement a CQI Strategy

Implementing the CQI strategy is straightforward. By asking and answering the first nine accountability questions, it is possible to improve the strategy because the CQI process requires an examination of potential changes in these variables. For example, is there a need to have increased mobilization in the coalition/policy panel (Chapter 1, Community Mobilization)? Are there new needs related to underage drinking (Chapter 2, Assessment)? Have the goals changed (Chapter 3, Goals)? Is there a better evidence-based strategy available (Chapter 5, Environmental Strategies)? Reviewing these accountability questions is a systematic way of determining what CQI strategies should be implemented.

### Examine Changes in the Environmental Strategy Context

In this guide, address the accountability questions in Chapters 1 (Community Mobilization), 2 (Assessment), 3 (Goals), 4 (Capacities), and 5 (Environmental Strategies) to assess the

“context” of the environmental strategy. For example, have there been changes in the community’s needs and resources? If there are different needs to address, then the goals or desired outcomes must be updated and new environmental strategies may need to be planned, implemented, and evaluated. It is also possible that even if the needs of the community did not change, the community should consider updating its goals and objectives. For example, if the environmental strategy resulted in 40 new merchants developing a new policy on selling to underage youth, next time, the coalition might want to aim for the other 60 merchants in the community who did not.

### Use Information from the Planning, Implementation, and Evaluation Processes

Summarize the information learned by answering the accountability questions Process Evaluation (Chapter 8) and Outcome Evaluation (Chapter 9) again. What did the planning process and the evaluations reveal? Were changes needed to improve the desired outcomes? Did the process evaluation (Chapter 8, Process Evaluation) show that some types of members of the target population were being reached (e.g., college students who live in a dorm) and others (e.g., college students who live off campus) were not? If yes, this may mean that additional strategies are needed to try to include the subgroup that was not reached. Did the outcome evaluation (Chapter 9, Outcome Evaluation) show that the environmental strategy was effective for some members of the target population and not others? If yes, this may mean that different strategies might be needed for that subgroup and/or it may mean limiting participation to the types of people who benefit.

Changes based on responses to earlier questions may require changes to the subsequent questions. For example, if the coalition must address new needs, this may require new goals and objectives, environmental strategies, fit and capacity assessments, plans, and evaluation strategies. In contrast, if the only significant result of the CQI review was that the process evaluation showed weak implementation in one area, that may be the only area to modify the next time.

### CQI Tool

Use the CQI tool in Appendix L to summarize the information learned by answering the accountability questions. The CQI tool also serves as the checklist for this accountability question.

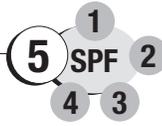


## South Carolina Alcohol Enforcement Team

The coalition members used the CQI tool to organize all the feedback from the evaluation to facilitate changes. Their completed CQI tool is reprinted below. The feedback included information from law enforcement, merchants, and youth.

### CQI Tool

Summary of Main Points Questions #1-#9	How Will This Information Be Used to Improve Implementation Next Time?
<p><b>Is there a need to increase organization/ mobilization of members of the coalition and/or policy panel?</b> Yes, there is a need to gather more support, especially from merchants who need training.</p>	<p>Better marketing plan to target merchants so they enroll in RBS; develop plan for legislative change to mandate server training when underage sales are successful.</p>
<p><b>Have the needs of the target group/resources in the community changed?</b> No, there is still a need for the underage drinking plan.</p>	<p>No need to change the strategies based on this question.</p>
<p><b>Have the goals/desired outcomes/target population changed?</b> No, the goals, desired outcomes, and target population are still the same.</p>	<p>No need to change the strategies based on this question.</p>
<p><b>Have the capacities to address the identified needs changed?</b> Yes, there is less funding available from the state department of alcohol and drug abuse. One additional law enforcement team would like to replicate the AET in their jurisdiction.</p>	<p>Given the success of the AET, we will apply to local and federal sources for additional funding as well as private foundations.</p>
<p><b>Are new and improved evidence-based/best practice technologies available?</b> Not at this time.</p>	<p>No need to change the strategies based on this question.</p>
<p><b>Does the underage drinking plan continue to fit with the values of the coalition (both philosophically and logistically) and the community?</b> Yes, the plan fits with the values of the coalition and the community.</p>	<p>No need to change the strategies based on this question.</p>
<p><b>How well was the plan implemented? What suggestions are there for improvement?</b> There needs to be a concerted effort to recruit merchants into RBS. The coalition needs to be more active in recruiting merchants for training.</p>	<p>We will examine evidence-based strategies for recruitment of merchants. The coalition will work with the marketing director at the local ATOD commission to determine a plan for recruitment. In addition, the coalition will develop a plan for legislative change to mandate server training when underage sales are successful.</p>
<p><b>How well was the underage drinking plan implemented? What were the main conclusions from the process evaluation?</b> The law enforcement piece (including compliance checks, sobriety checkpoints, and other activities) went very well. Law enforcement had some complaints about paperwork. The plan to recruit merchants needs to be revised.</p>	<p>Work with law enforcement to determine the most efficient way to deal with paperwork; consider alternative recruitment strategies for merchants.</p>
<p><b>How well did the strategies reach the outcomes? What were the main conclusions from the outcome evaluation for different types of participants?</b> Youth access to alcohol decreased as measured through compliance checks.</p>	<p>More compliance checks need to be done in rural areas because the rate did not decrease as dramatically as it did in the city. This will require a discussion about the cost of travel since the stores are much more spread out.</p>



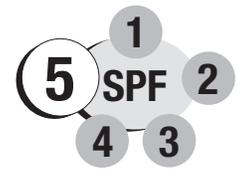
## CHECKLIST FOR ACCOUNTABILITY QUESTION: Continuous Quality Improvement

### Make sure the community has...

- Addressed issues related to community mobilization and organization.
- Examined new needs/conditions in the targeted area.
- Determined whether changes in the goals/target population or desired outcomes are necessary.
- Decided how the capacities to reduce underage drinking can be improved.
- Considered whether a new evidence-based strategy is appropriate (if available).
- Ensured that the plan to reduce underage drinking still fits the values of the community.
- Determined how well the plan to reduce underage drinking is implemented.
- Determined how well the plan to reduce underage drinking is working.



# STRATEGIC PREVENTION FRAMEWORK STEP 5: MONITOR, EVALUATE, SUSTAIN, AND IMPROVE OR REPLACE THOSE STRATEGIES THAT FAIL



## CHAPTER 11 Accountability Question:

If the underage drinking plan is successful, how will it be sustained? (Sustain)

### Definition of Sustainability

Sustainability is usually thought about as continuing a strategy or program after its initial funding is over. Much of the literature on sustainability has been based on what happens after the initial external (or internal) funding of a program ends (see, e.g., Johnson, et al., 2004; Scheirer, 2005). If a program was begun with external funding, what happens after the funding is over? Does the program end when the funding ends? In this guide, we consider the following questions: How do we sustain an environmental strategy after it has been established?

Although, by definition, many environmental strategies lead to permanent changes in policies and laws that impact underage drinking, these laws need to be continually enforced and reinforced—having a policy on the books does not mean that it will necessarily be enforced in the long run. Environmental strategies are more likely to be sustained if they show positive outcomes and if they are adapted to fit the needs of the community.

There are three general approaches to sustainability:

1. Obtain new external funding to continue the environmental strategies (e.g., obtain new grant funding).
2. Encourage the host organization or community to put its own resources into continuing the environmental strategy (e.g., compliance checks and sobriety checkpoints get “picked up” by a law enforcement agency).
3. Convince state, county, or city agencies to include the environmental strategies in ongoing public funding (e.g., block grants, state incentive grants, state agency funding streams).

### Why Is Sustainability Important?

- Ending a strategy to prevent underage drinking that is achieving positive results is counterproductive when the problem that the plan was created for still exists or can reoccur.
- Creating a comprehensive plan (and the individual strategies) requires significant start-up costs. Unfortunately, some strategies see their funds end or get withdrawn before the activities are fully implemented and have enough time for the outcomes to be demonstrated, thus wasting many resources.
- If the plan to prevent underage drinking is successful but not able to be sustained, there can be much resistance from the local community or host organization to beginning another plan at a future date.

### How to Sustain High-Quality Environmental Strategies

Surprisingly, there is relatively little research on “how-to” approaches to sustaining environmental strategies. When the coalition is considering efforts to obtain additional resources from external sources or from internal sources, the following questions should be considered (Akerland, 2000; Shediach-Rizkallah & Bone, 1998):

- Does the environmental strategy continue to address needs in the community?
- Has the environmental strategy shown to be effective (or the potential to be effective with realistic improvements)?

If the answer to either of these questions is no, then it may be better to find a different environmental strategy than to sustain the current one.

Once it is determined that the environmental strategy is worth sustaining, the following guidelines should be helpful.

### Sustainability Plan

Develop a specific funding development or sustainability committee in the first year to consider many of the components described below. The committee should keep in mind that there are three major approaches to sustainability (as stated previously): obtain new external funding; encourage the host organization or community to put its own resources into continuing the environmental strategy; and convince state, county, or city agencies to include the environmental strategies in ongoing public funding.

The literature suggests that the following components are related to sustainability.

### Community Support

“Community” is used broadly here to mean the various stakeholders that can impact the continued success of an environmental strategy. Many strategies require participation and cooperation of law enforcement agencies, merchants, parents, event organizers and sponsors, and community leaders. Clearly, it is critical to maintain a good relationship with these groups. Conduct satisfaction surveys, hold meetings, and use other methods to stay in touch with these groups so your coalition can do its best to meet these groups’ needs. Including and “showcasing” partners at press conferences that announce positive results or at other types of events helps to bring visibility to the strategy and to the partners.

### Level of Effectiveness

Environmental strategies should be effective to be worth sustaining. Research suggests that high visibility of the environmental strategy and a reputation for effectiveness are related to sustainability. Newspapers like to have stories showing that a community's efforts have resulted in improvements—a figure with a graph of statistics declining in a favorable direction makes a powerful statement.

### Champions

Sustainability is politically oriented and can depend on generating goodwill for the continuation of the environmental strategy. Goodwill often depends on obtaining an influential advocate or champion. The champion can be internal to the organization (e.g., a high-ranking member of the organization) or external to the organization (e.g., superintendent of schools, city council member). If a policy panel was established, it could be useful to sustain the policy panel as a champion.

### Negotiation Process

Many environmental strategies are driven by categorical funding in which the funder dictates the priorities and sometimes what environmental strategy should be used. A negotiation process, which can work to develop community buy-in for an environmental approach, may help to increase the likelihood of success. For example, an agency (e.g., police department) may be willing to sustain part of the plan (e.g., one of three environmental strategies) but not the other two. The community coalition and key stakeholders will need to decide if this negotiation is acceptable.

### Training

Environmental strategies that train people with secure jobs in the organization are more likely to have lasting effects. That is, those who are likely to be secure in their job positions for a while can continue to implement the environmental strategies, train others in the environmental strategies, and form a constituency to support the environmental strategies. In other words, if the only people who operate the environmental strategy are those fully funded by the environmental strategy, when the funding ends there will be no one left to carry on any of its useful components. For example, training only a few officers in compliance checks or sobriety checkpoints may leave the strategy vulnerable to turnover. A more sustainable approach would be to include it in the training of all new police recruits.

### Organizational Strength

Organizational strength includes goals of the institution that are consistent with strong leadership, and high skill levels. Successful environmental strategies will have strong organizations involved in their implementation. For example, it may be better to have a school system or a police department with public relations departments handle publicity than a small, underfunded, nonprofit organization.

### Integration with Existing Environmental Strategies/Services

Environmental strategies that are “stand-alone” or self-contained are less likely to be sustained than environ-

mental strategies that are well integrated within the host organization(s). In other words, if an environmental strategy is not integrated with other environmental strategies and services, it will be easier to cut when the initial funding ends. Therefore, a community coalition should work to integrate the environmental strategies with existing services, if possible, and not isolate them or portray them as “separate.”

### Fit with Host Organization or Community

If the environmental strategy addresses a specific need or problem for the host organization or local community, it will be perceived much more positively when initial funding is reduced. An environmental strategy that can demonstrate a value over what came before it (either a previous program or environmental strategy that was not as effective or a problem that was not being addressed) will be more valued by organizations and communities (see the accountability question on Fit, Chapter 6).

### Routinization

A sustainable environmental strategy is fully integrated into normal operations in that it becomes routine (Yin, 1979; Goodman & Steckler, 1989). Yin suggested that full routinization involves 12 components in budget, personnel, supplies and maintenance, training, and organizational governance (see Table 11). The more these components are part of “everyday practice,” the more likely the strategy is to be sustained. The sustainability plan should incorporate these components as a checklist.

**Table 11. Yin's Routinization Framework**

Budget	1a. Strategy supported by change from soft to hard money 1b. Survives annual budget cycles
Personnel	2a. Activities of the strategy become part of job descriptions/requirements 2b. Strategy survives turnover of personnel/leadership 2c. Key strategy staff are promoted within agency 2d. Strategy activities spread to all potential users within agency
Supply and maintenance	3a. Supply and maintenance provided by agency 3b. Activities survive equipment turnover
Training	4a. Skills taught in many training cycles 4b. Skills become part of professional standards
Organizational	5a. Use of strategy recognized in manuals, procedures, regulations 5b. Strategy recognized as permanent within agency or coalition

## South Carolina Alcohol Enforcement Team



To ensure sustainability, emphasis was placed on obtaining positive outcomes and securing additional funding. Utilizing the Getting To Outcomes method ensured that the staff planned, implemented, and evaluated the initiative in a way that increased the likelihood of achieving positive results for future funding opportunities. Specifically, LRADAC managed to secure funding for the AET5 through a state incentive grant. This funding allowed the continued functioning of the AET initiative.

The likelihood of continued sustainability of the AET initiative was also increased as a result of several recognitions and awards received by the AET teams. In August 2004, the AET received “exemplary” status for innovative programs at the National Prevention Network Conference in Kansas City, Missouri. This award, presented to only five programs in the nation, is awarded by several national agencies, including the Center for Substance Abuse Prevention, the National Association of State Alcohol and Drug Abuse Directors, and the Community Anti-Drug Coalitions of America. The AET5 also presented at the Fifth Annual Enforcing Underage Drinking Laws National Leadership Conference in August 2004. In addition, the AET5 team was presented with the Law Enforcement Partnership of the Year Award, a national recognition presented by their law enforcement peers. These awards led to increased ownership of and commitment to the AET model, thereby contributing to sustainability efforts.

The positive outcomes led to various funding/acknowledgements, including a \$100,000 Drug-Free Communities grant awarded by ONDCP and administered by SAMHSA. In addition, various in-kind donations, including space and meeting times from the Lexington police department and the Lexington school district, were obtained. In addition, the state of South Carolina adopted the model and is awarding funds to additional counties to replicate the AET model.

## CHECKLIST FOR ACCOUNTABILITY QUESTION: Sustainability

### Make sure the community has...

- Started discussions early with community members about sustaining the environmental strategies.
- Ensured that the community’s needs are driving the environmental strategies.
- Ensured that the environmental strategies are achieving the desired outcomes.
- A strong organizational base for the environmental strategies.
- Developed a consensus-building process to reach a compromise for addressing different stakeholder needs (e.g., community, funder, technical expert).
- Developed a sustainability plan and a committee or subgroup to implement a plan that includes
  - an assessment of the community’s local resources to identify potential “homes” for the environmental strategy.
  - environmental strategies that are compatible with the mission and activities of the host organization
  - respected champions who understand the importance of environmental strategies in prevention
  - Environmental strategies that are endorsed from the top of the organization
  - various options to discuss with those who may sustain the environmental strategy (e.g., a scaled-down version of the environmental strategy)
  - clear strategies in place for gradual financial self-sufficiency
  - environmental strategies that can be integrated with other environmental strategies.



**SUMMARY ACTION STEPS FOR CONDUCTING A POLICY PANEL**

- Select and describe the topic
- Research the issue: create a background briefing paper
- Recruit a Chair and panelists
- Develop and update briefing notebook
- Develop a media strategy
- Begin panel discussions with a reception
- Hold panel meetings
- Develop a timeline
- Hold public hearing(s)
- Hold post hearing meetings with panel members
- Draft the panel's recommendations
- Publish final report and recommendations
- Disseminate the report widely
- Advocate for implementation of recommendations
- Celebrate successes

From: Join Together: Save Lives! Policy Panel, 1993



## **CHOOSING POLICY PANEL MEMBERS**

Who has a presence with the issue you want to address?

Are they a recognized authority in the community? How do you know this?

Do they have the time to dedicate to a year-long process?

Are they able to motivate others to action?

What are the downsides to this person? ( i.e., are they up for re-election, do they have significant community credibility, are they unknown to the community, etc.)

What makes this person the right one for the panel?

What experience have they had with policy change?

Do they have the ability to look at the big picture of an issue, not just programmatically?



## EXAMPLE OF A COMMUNITY POLICY PANEL

### Santa Rosa, CA

The following is an excerpt from the recommendations report of a Santa Rosa, CA policy panel entitled “Youth Access to Alcohol” that describes their policy panel process.

To address these important questions, the Santa Rosa Policy Panel on Youth Access to Alcohol was convened in November of 1995. Twenty-two individuals were recruited to serve on the panel, representing a variety of disciplines, perspectives and constituencies from throughout the community. The goal of the Policy Panel was two-fold: to focus community attention on the problem of underage access to alcohol and to stimulate action planning by individuals, organizations and government bodies to address it.

The mission of the Panel members was to:

- evaluate the link between youth access to alcohol and underage drinking in the community and assess its consequences;
- study the constructive steps that have been taken locally and by other communities to address the problem;
- hear testimony and recommendations from parents, youth, merchants, law enforcement, prevention experts, community leaders and other citizens; and,
- develop consensus recommendations on initiating, changing and reinforcing community-wide policies that would effectively reduce underage access to alcohol and youth drinking in the city.

The Policy Panel convened its first public hearing on November 15, 1995 and concluded its final deliberations on January 17, 1996. During this eight-week process, the panel heard testimony from over fifty individuals and considered more than forty separate policy proposals to reduce youth access. After many hours of subcommittee work and deliberation, twenty-six consensus recommendations were developed. The recommendations were organized into clusters related to schools, law enforcement, community, merchants and land use. Panel members agreed to take the final

recommendations back to their constituencies and to advocate for action planning and implementation. The Panel also planned to reconvene at six and twelve months to assess progress on implementation and consider additional recommendations.

The following are a few of the recommendations:

- The Policy Panel recommends that alcohol producers and retailers not use advertising which targets youth or makes alcohol consumption attractive to youth.
- The Policy Panel recommends that a comprehensive, coordinated drug and alcohol prevention and intervention program be developed and implemented at all primary, secondary and college levels. The program should: incorporate proven effective teaching, counseling and peer counseling strategies targeting both students and parents; include collaboration with appropriate community-based organizations; and be evaluated continuously to assess its effectiveness.
- The Policy Panel recommends to the State Legislature and the Governor that increased funding be provided to the Department of Alcoholic Beverage Control for the purpose of preventing youth access to alcohol.
- The Policy Panel recommends that the City of Santa Rosa and the County of Sonoma convene regular meetings involving alcoholic beverage retailers, the Department of Alcoholic Beverage Control and the Santa Rosa Police Department to address issues related to youth access to alcohol, including sales to minors, shoulder tapping, theft, false identification, and alcohol advertising and promotion.

Since the panel first convened in 1995, it has had numerous recommendation successes, including the passage of conditional use permit governing on and off sale retail, a teen party ordinance creating liability for anyone sponsoring a teen party, and the development of a one-day special event review process for sponsors of a public event with alcohol.



## NEEDS ASSESSMENTS RESOURCES

### YRBSS: Youth Risk Behavior Surveillance System

The YRBSS was developed in 1990 to monitor priority health risk behaviors that contribute markedly to the leading causes of death, disability, and social problems (including alcohol and drug use) among youth and adults in the United States.

<http://www.cdc.gov/HealthyYouth/yrbs/index.htm>

### State/Local versions of YRBSS

There are state and local versions of the YRBSS. To view state fact sheets, go to <http://www.cdc.gov/HealthyYouth/yrbs/statefacts.htm>. To see a map of state and local participation go to <http://www.cdc.gov/HealthyYouth/yrbs/map.htm>

**Monitoring the Future** is an ongoing study of the behaviors, attitudes, and values of American secondary school students, college students, and young adults. Each year, a total of some 50,000 8th, 10th and 12th grade students are surveyed (12th graders since 1975, and 8th and 10th graders since 1991).

<http://www.monitoringthefuture.org/>

**The Drug Abuse Warning Network (DAWN)** is a public health surveillance system that monitors drug-related visits to hospital emergency departments (EDs) and drug-related deaths investigated by medical examiners and coroners (ME/Cs). This data includes alcohol in combination with other drugs (adults and children) and alcohol alone (age < 21). <http://dawninfo.samhsa.gov/>

### Behavioral Risk Factor Surveillance System (BRFSS)

is the world's largest telephone survey, tracks health risks in the United States. Information from the survey is used to improve the health of the American people (adults 18 years or older).

<http://www.cdc.gov/brfss/index.htm>

### Fatality Analysis Reporting System (FARS)

This data system was conceived, designed, and developed by the National Center for Statistics and Analysis (NCSA) to assist the traffic safety community in identifying traffic safety problems and evaluating both motor vehicle safety standards and highway safety initiatives. FARS is one of the 2 major sources of data used at the NCSA. There are FARS alcohol files which contain driver and non-occupant BAC (blood alcohol content) estimates, as well as overall crash alcohol estimates, which are used to supplement the data files when no alcohol information would otherwise be available. <http://www-fars.nhtsa.dot.gov/main.cfm>

### National Survey on Drug Use & Health

(formerly called the National Household Survey on Drug Abuse). To access underage drinking data go to <http://oas.samhsa.gov/youth.htm#UnderAge>.

### America's Partners to Prevent Underage Drinking

Map that links to underage drinking in each state (PDF document); the data available include the cost and consumption of underage drinking by state. (These PDF documents are the same as those on the Underage Drinking Enforcement Training Center's Web site).

<http://www.beaawarenow.org/profiles.php>



**ENVIRONMENTAL SCAN: DATA COLLECTION FORM**

**Background Information**

Date: \_\_\_\_\_ Store Name: \_\_\_\_\_

Area: \_\_\_\_\_ Team: \_\_\_\_\_

**Store Type (check one)**

Chain Convenience  Gas Station  Pharmacy  Small Market  Supermarket

Other (please specify): \_\_\_\_\_

Street Address: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_

Is the store within 1,000 feet of a school?.....  Yes  No

Is the store within 1,000 feet of a church?.....  Yes  No

Is the store within 1,000 feet of a playground or recreational facility?.....  Yes  No

Is the store within 1,000 feet of a daycare center?.....  Yes  No

Other observations:

**ENVIRONMENTAL SCAN: DATA COLLECTION FORM**

**Outside Survey**

Standing outside the store, carefully look at the store’s visible walls, windows, outside areas, etc. Chances are there are lots of signs and advertising. There are several types of ads for cigarettes, smokeless tobacco and alcoholic beverage products you might see such as homemade signs, professionally produced posters or signs advertising specific brands, neon signs, small brand stickers on the door, or mini-billboards on the store’s property. Record the type and brands of the visible tobacco and alcoholic beverage ads below:

	<b>Budweiser</b>	<b>Coors</b>	<b>Seagram’s</b>	<b>Colt 45</b>	<b>Busch</b>	<b>Miller</b>	<b>Others</b>
Store-made signs or ads							
Professional signs or ads							
Other alcohol promotions or ads							
Anti-underage drinking signs							
Minimum-age notices “We Card”							

Other observations:

**ENVIRONMENTAL SCAN: DATA COLLECTION FORM**

**Inside Survey**

**Access To Alcohol Products**

**Beer (check one):**

- On the shelf
- In a display at the front of the store
- In a refrigerated area
- Other location requiring clerk assistance

**Wine Coolers (check one):**

- On the shelf
- In a display at the front of the store
- In a refrigerated area
- Other location requiring clerk assistance

**Other Alcohol Products (check one) \_\_\_\_\_(type)**

- On the shelf
- In a display at the front of the store
- In a refrigerated area
- Other location requiring clerk assistance

Are alcohol products near candy displays?..... Yes  No  
 Are alcohol products cold (ready to consume)?..... Yes  No  
 Are alcohol products where store clerks can easily see them? ..... Yes  No

**Alcohol Ads Inside the Store**

Are alcohol ads or signs located at three feet from the floor or below? ..... Yes  No  
 Are there any anti-drinking or anti-underage use ads or signs? ..... Yes  No  
 Are there any signs informing customers that there is a minimum age to purchase alcohol products, or that they don't sell alcohol products to minors? ..... Yes  No  
 Is there any indication that the store participates in the "We Card" program? ..... Yes  No  
 Is there any indication that the store participates in the "It's the Law" program? ..... Yes  No

Adapted from: South Carolina State Incentive Grant



**SAMPLE DATA COLLECTION PLANNING TOOL**

<b>Factor to be Assessed</b>	<b>Indicators to Be Measured</b>	<b>Method for Data Collection</b>	<b>Where Found?</b>	<b>Completed by/Person Responsible</b>



**Goals Tool**

Goals	Outcomes Questions	Outcomes Answers	Target Population (who and how many?)
	What will change?		
	For whom?		
	By how much?		
	When will the change occur?		
	How will it be measured?		
	What will change?		
	For whom?		
	By how much?		
	When will the change occur?		
	How will it be measured?		
	What will change?		
	For whom?		
	By how much?		
	When will the change occur?		
	How will it be measured?		



**APPENDIX H**

Environmental Strategy: \_\_\_\_\_ Date \_\_\_\_\_

Name of person completing form: \_\_\_\_\_



**PLANNING TOOL**

**SUMMARY:** Briefly provide the title and summary for this environmental strategy.

**Title:**

**Summary:**

**Components**  
Identify the key components for environmental strategy.

**Identifying Anticipated Outputs**  
What outputs will show that the activities were implemented as intended? Outputs are the direct products of activities and usually are measured in terms of work accomplished.

Component	Actions taken	Anticipated Output(s): How many...
Component 1:		





**Potential Barriers and Solutions**

It is helpful to forecast challenges or barriers that may occur and generate possible solutions for them. In the table below, list common barriers. The group can also generate potential solutions.

<b>Potential Barriers</b>	<b>Potential Solutions</b>



**Summary Checklist**

What must be done to prepare for this strategy? Indicate “Y” (Yes), “N” (No), or “NA” (Not applicable) regarding the tasks below. Have these tasks/activities been sufficiently addressed?

<b>CHECKLIST ITEM</b>		<b>If no, plan for completion</b>	<b>By when?</b>
Component 1:			
Y/N/NA	Resources obtained		
	Person responsible		
	Staff trained		
	Duties assigned		
	Location identified		
	Timeline written		
	Collaborative partners identified		
	Materials developed		
	Barriers considered		
	Other:		
	Other:		

<b>CHECKLIST ITEM</b>		<b>If no, plan for completion</b>	<b>By when?</b>
Component 2:			
Y/N/NA	Resources obtained		
	Person responsible		
	Staff trained		
	Duties assigned		
	Location identified		
	Timeline written		
	Collaborative partners identified		
	Materials developed		
	Barriers considered		
	Other:		
	Other:		

**APPENDIX I**

Environmental Strategy: \_\_\_\_\_ Date \_\_\_\_\_

Name of person completing form: \_\_\_\_\_



**IMPLEMENTATION TOOL**

**Monitoring Component Outputs**

**Component 1:**

Output	Implemented as Planned? (High, Medium, Low, No)	Anticipated Output(s)	Actual Output(s)	% Output Actual/ Anticipated

**Component 2:**

Output	Implemented as Planned? (High, Medium, Low, No)	Anticipated Output(s)	Actual Output(s)	% Output Actual/ Anticipated

**Progress, Problems, & Lessons Learned Regarding Outputs**

--

**Planning Activities**

<b>Components</b>	<b>Key Planning Activities</b>	<b>Dates Scheduled to Complete Activity</b>	<b>Actual Date of Completion</b>
Component 1:			

**Progress, Problems, & Lessons Learned (i.e., barriers for not completing key activities on time)**

--

<b>Components</b>	<b>Key Planning Activities</b>	<b>Dates Scheduled to Complete Activity</b>	<b>Actual Date of Completion</b>
Component 2:			

**Progress, Problems, & Lessons Learned (i.e., barriers for not completing key activities on time)**

**Collaboration Partners**

Anticipated Partner	Actual Partner	Anticipated Role	Actual Role

**Progress, Problems, & Lessons Learned Regarding Collaboration**

## APPENDIX J

Environmental Strategy: \_\_\_\_\_ Date \_\_\_\_\_

Name of person completing form: \_\_\_\_\_



### COMMUNITY CHANGE EVENT LOG

Initiative: \_\_\_\_\_ Recorder: \_\_\_\_\_

Using this form, please describe changes in programs (e.g. Responsible Beverage training), policies, (e.g., the passing of a new keg registration ordinance), and practices (e.g., more stringent ID checking at local bars) that are related to preventing underage drinking.

<b>DATE</b> (m/d/y) Was this the first time this event happened?	<b>DESCRIPTION OF CHANGE</b> Describe the change in detail. Include: Why is it important? What happened as a result? Who was involved? What organizations were collaborators?	<b>LINKED TO WHICH OUTCOME?</b> Does this change link to a specific desired outcome of the initiative? Which one?	<b>CAUSE OF THE CHANGE?</b> How did your initiative help create this change?



## APPENDIX K

Environmental Strategy: \_\_\_\_\_ Date \_\_\_\_\_

Name of person completing form: \_\_\_\_\_



### COMMUNITY CHANGE SUMMARY

Initiative: \_\_\_\_\_ Year: \_\_\_\_\_

Month	# of changes = ____; Brief Description of Community Changes
January	# of changes = ____;
February	# of changes = ____;
March	# of changes = ____;
April	# of changes = ____;
May	# of changes = ____;
June	# of changes = ____;
July	# of changes = ____;
August	# of changes = ____;
September	# of changes = ____;
October	# of changes = ____;
November	# of changes = ____;
December	# of changes = ____;



## APPENDIX L

Environmental Strategy: \_\_\_\_\_ Date \_\_\_\_\_

Name of person completing form: \_\_\_\_\_



### CQI TOOL

Summary of Main Points Questions	How Will the Group Use This Information to Improve Implementation the Next Time?
What additional community mobilization strategies are needed?	
Have the needs of the target group/ resources in the community changed?	
Have the goals/desired outcomes/target population changed?	
Are new and improved science-based/best practice technologies available?	
Does the strategy continue to fit with (both philosophically and logistically) with the values and context of the community?	
Have the resources available to address the identified needs changed?	
How well did you plan? What suggestions are there for improvement?	
How well was the strategy implemented? How well was the plan followed? What were the main conclusions from the process evaluation?	
How well did the strategy reach its outcomes? What were the main conclusions from the outcome evaluation?	



**Environmental Strategy:** \_\_\_\_\_ **Date** \_\_\_\_\_

**Name of person completing form:** \_\_\_\_\_

## **MEETING CONTACT FORM**

Primary Contact Information (name, address, phone, e-mail):

Contact's position:

Names of people in the meeting:

Organizations represented:

General Attitude toward youth underage drinking and the use of environmental strategies for prevention:

Goals/Objectives of the meeting:

Which goals/objectives for this meeting were met?

What did the person(s) agree to do as a result of this meeting:

What did you or your organization agree to do as a result of this meeting:

Next steps:



## APPENDIX N



### OUTCOME EVALUATION TOOL

Summary of needs and resources:

Target group or area (include numbers):

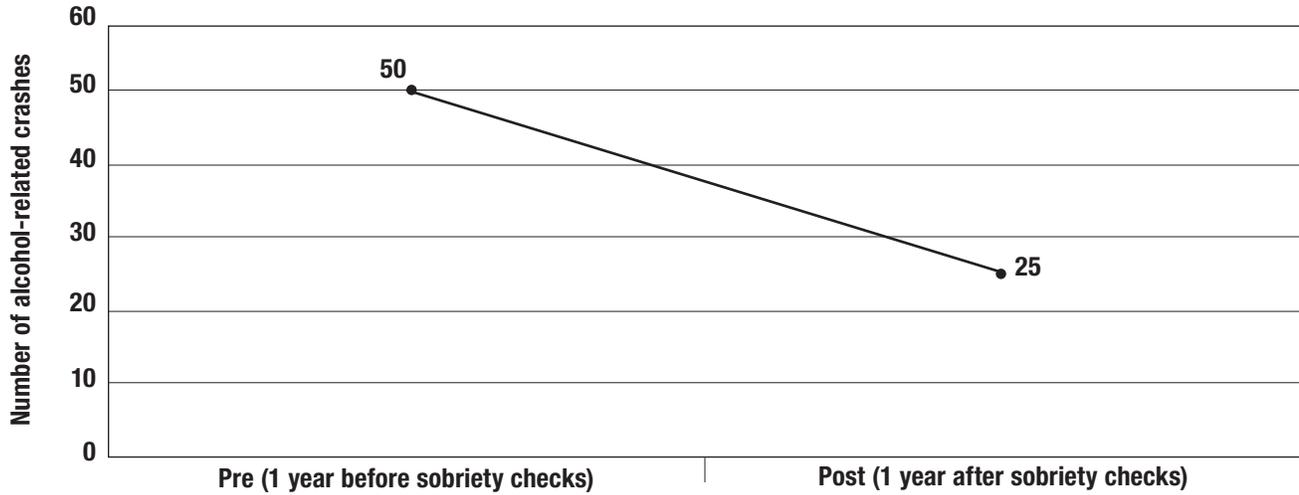
Goal(s):

Objectives (e.g., Desired outcomes)	Measures	Design	Sample Size

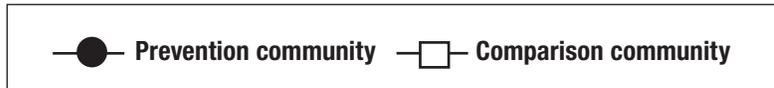
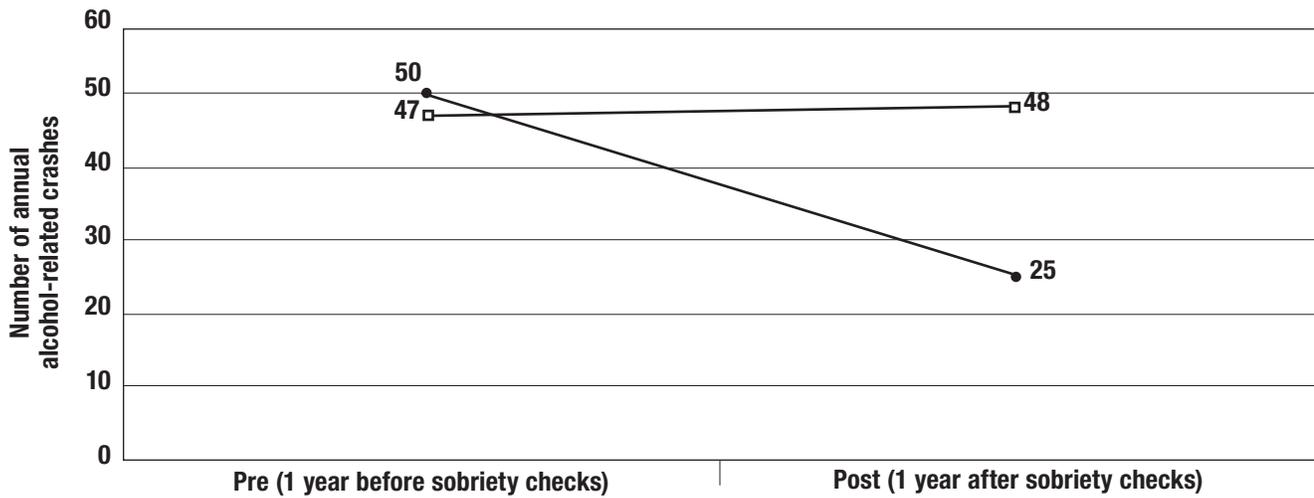
Data Analysis Methods	Mean Pre Scores	Mean Post Scores	Mean Difference	Interpretation



**Figure 6. Sobriety Checks: Number of Alcohol-Related Crashes**



**Figure 7. Sobriety Checks: Number of Annual Alcohol-Related Crashes**





# EVIDENCE-BASED ENVIRONMENTAL STRATEGIES

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## Working Through the Examples

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This guide highlights the fact that underage drinking is a major public health problem and offers ideas for how to plan, implement, and evaluate environmental strategies that can be effective in preventing underage drinking. One key feature of this guide is the inclusion of tools designed to assist community coalitions/organizations in their efforts.

The format for this section includes ten examples that correspond to the ten evidence-based strategies. In each example, there is a brief research summary and additional text that describes issues related to planning, implementing, and evaluating the strategy. Each example also includes planning and implementation tools that have been partially completed to help facilitate the community's work. In some examples, we have additional worksheets and forms that can be used. Some of these include sample ordinances, sample letters, and ideas for a policy journal. Each of the appendixes can also be used when working through any of the examples. Feel free to customize any of the forms for your particular use.



# 1. Responsible Beverage Service (RBS)

### Research Summary on Responsible Beverage Service (RBS):

Responsible Beverage Service (RBS) is one type of merchant education program that can help generate public and business support for enforcement of laws to prevent sales to minors. As with all environmental strategies, RBS should be conducted as part of a larger comprehensive plan to reduce underage drinking. RBS programs target both on-sale and off-sale alcohol retailers and are designed to reduce sales to minors and intoxicated adults. RBS includes three critical components.

1. Media advocacy to promote policy change
2. Manager training, and

3. Server/seller training (Mosher, 1991).

Evaluations of the effectiveness (which primarily focus on preventing intoxication) are mixed but promising (Saltz & Sanghetti, 1997; Toomey et al., 1998; Wagenaar & Toomey, 1998). In general, RBS programs are more likely to be successful when they include a policy development component, focus on skill development and active learning techniques, and are implemented in the entire community as part of a larger plan including compliance checks and media advocacy (Grube, 1997; Saltz & Stanghetti, 1997; Toomey, et al, 1998).

## PLANNING

First, it is important to **determine whether the state has a law mandating RBS** or a law that provides incentives for RBS.

Currently 13 states have a mandatory law and another 11 have some kind of incentive for RBS. Mothers Against Drunk Driving (MADD) maintains a current listing of these states at the following website: <http://www.madd.org/laws>. (It is possible to track a total of 40 alcohol-related laws at this site.) If the state does not have an RBS law, initial efforts should be to mobilize and get an RBS law or ordinance passed. This effort could target the state, county, or city level. If there is an existing law, then it will be important to assess the degree to which it is being implemented and enforced.

**Provide a ready-made RBS ordinance or law** so lawmakers will have a model to follow. See Sample Ordinance for two examples of model RBS ordinances: one from Rochester, MN ordinance §810.60(12) and the other from St. Paul, MN Ordinance §310.19).

The main issue to decide when drafting an RBS law is:

- **Mandatory vs. incentives** —This has to do with whether all alcohol licensees, as a condition of their license, will be required to run a pre-approved RBS training OR whether licensees would only receive incentives to do so. Typical incentives are reductions in license fees. Insurance companies may also offer incentives. *Making RBS mandatory is preferred.*

There are other important issues to consider as well, including:

- Whether licensees are required to post signage about selling to minors.
- The amount of incentive for attending an RBS training.
- Whether the type of training is specified (content, qualifications of training providers).
- The penalty for not having RBS training.
- Whether the law allows for periodic investigations of

licensed business, including unannounced, random attempts to buy alcohol by underage persons.

**Provide information to the appropriate agency about what an RBS training should look like.** Showing a 30-minute video to servers once a year will not produce sustainable positive outcomes. Research has shown that the following should be included in a high-quality RBS training program (Mosher et al., 2002):

**1) Provide all basic information to servers.** Relevant information includes physiological effects of alcohol and social problems associated with alcohol use and the relevant local laws governing alcohol service.

**2) Use behavioral change/communication techniques.** Utilize role-playing or other skill-building techniques to effectively teach servers specific skills to manage responsible service techniques (e.g., refusing alcohol sales to an intoxicated patron, how to properly check identification, etc.).

**3) Focus both on managers and servers.**

Managers must also be trained, as they are responsible for supervising the servers and, therefore, need to be familiar with the servers' responsibilities and skills.

**4) Include policy development for managers.**

Encouraging managers to develop written in-house policies increases the chances of implementing RBS at the establishment. A policy signals that the establishment expects and supports the use of responsible service practices. See a sample of an Alcohol Management Policy developed by the Lexington/Richland Alcohol and Drug Abuse Council: The Behavioral Health Center of the Midlands.

**5) Minimum length - 4 hours.** The most effective RBS trainings are at least 4 hours in length.

**Help shape RBS implementation in the community.** According to CSAP's "Preventing Problems Related to Alcohol Availability: Environmental Approaches" (1999) (<http://www.health.org/govpubs/PH822>), there are several steps communities need to take in order to support a high-quality RBS training program. These steps will make the RBS training more effective. They include:

- 1) Enforce the law.** All states and most local jurisdictions have laws regarding the sale of alcohol to underage and intoxicated individuals. These laws should be enforced strictly and uniformly.
- 2) Target trouble spots.** Focus on training staffs of high-risk establishments (e.g., those in which arrested drunk drivers purchased their last drink). Determine these locations by getting information from police arrests, from counselors during hearings, or from those individuals arrested and/or convicted of DUI.
- 3) Keep the legal burden on owners.** The strongest incentive to stop owners from serving intoxicated or underage individuals appears to be revocation of the establishment's alcohol license, and the prevention of injuries for which they might have civil liability.
- 4) Provide incentives.** Some states' RBS law only provides incentives for establishments to participate in responsible beverage service activities. One common incentive is reduced license fees, but incentives might also be related to license retention, legal liability, reputation, etc. Suggested statements include:
  - a) "You don't have to worry about losing your license to sell alcohol if you never sell to intoxicated or underage individuals."
  - b) "You will protect yourself from legal liability arising from the behavior of impaired patrons if you never serve anyone to the point of intoxication."
  - c) "You will be known as an establishment with a good reputation if you help keep the community safe and healthy by doing your part to prevent alcohol abuse, addiction, and alcohol-related problems."
- 5) Intervene early.** Early intervention, such as revoking an alcohol license in cases of documented underage or binge drinking, is preferred rather than waiting until a tragedy occurs.
- 6) Close license loopholes.** When the state or jurisdiction revokes a license, the license should not be allowed to transfer to a new owner - often a friend or relative. Similarly, new owners should not be grandfathered. Thus, all new owners should have to apply formally for a new license.
- 7) Provide continuous server training.** Given high turnover among alcohol servers, training should be continuous (i.e., offered for new hires, as well as for experienced servers who can benefit from refresher sessions).

**Build community support for this strategy** from merchants, other community members, and law enforcement. Focus public dissemination/awareness activities to the community and local leadership and show the relationship between inappropriate and

dangerous alcohol service (i.e., serving intoxicated customers) in the community and the rate/type of alcohol-related problems.

The following are different media strategies to promote public policy changes to include voluntary or mandatory RBS efforts:

- a. Contact a local representative to convince him or her that enacting an RBS law or ordinance is a good idea.
- b. Hold individual meetings with those who are in key positions to affect change (e.g., elected officials, alcohol policy organizations, and organizations influenced by alcohol availability, such as neighborhood organizations).
- c. Target merchants with the message that having an RBS law may reduce legal and civil liabilities.
- d. Hold a press conference describing the data collected about the number of alcohol-related problems that occur in the community. Discuss how implementing an RBS law will contribute to decreases in alcohol-related problems.
- e. Work with local media outlets to air PSAs describing the problems caused by beverage servers who continue to provide alcohol to those already intoxicated or underage and how RBS training can help address these problems.
- f. Write letters to the editor about the problem caused by servers who continue to provide alcohol to those already intoxicated or underage (i.e., RBS laws).
- g. Try to get media coverage of the problem. Stage a rally or an event in or near an area where underage or binge drinking is known to occur (e.g., bars near college campuses).
- h. Issue press releases highlighting key activities and important events, such as public hearings on a potential RBS law or ordinance.
- i. Write an "Op-Ed" piece. See FACE ([www.faceproject.org](http://www.faceproject.org)) for a sample Op-Ed piece and instructions.
- j. Ensure that the coalition members are available to be interviewed and educate all members about the latest local figures on underage drinking and how poor alcohol serving practices contribute to this problem, so they are well-prepared and knowledgeable.

#### **Tools for Planning, Implementation and Evaluation:**

In this example, there are several tools that can be customized and utilized in the community to help plan, implement, and evaluate Responsible Beverage Service.

- **RBS Planning Tool**
- **RBS Implementation Tool**
- **RBS Outcome Evaluation Tool (Appendix N)**
- **RBS Alcohol Management Policy**
- **RBS Sample Ordinance**

## RBS PLANNING TOOL

This tool helps plan the components to two strategies: the RBS training and media awareness and advocacy to promote policy changes and enforcement of an RBS law.

**Identifying Anticipated Outputs.** Outputs are the direct products of the strategy's components and usually are measured in terms of work accomplished (e.g., number of merchants trained, number of classes taught, etc.). Outputs indicate whether the strategy is going in the direction that was intended. The RBS Planning Tool already has several anticipated outputs listed that are important to track. It may be necessary to add others.

**Planning Each Component.** Document the major activities that need to be completed in order to be successful in implementing the RBS training and media advocacy efforts to promote policy changes. Both are comprised of several activities. Therefore, it is important to list each of these activities since this is where detailed action steps will occur. We have specified activities that are useful in planning the RBS training and media advocacy in the RBS Planning Tool. In addition, for each activity, consider the important planning elements:

- **Scheduled dates.** When will the activities occur? By deciding upon the approximate dates for the completion of each activity, a timeline will emerge. Use these dates to assess if the proposed activities are being implemented in a timely fashion.
- **Who will be responsible?** Before implementation, decide who will be responsible for each activity. Will it be staff of the coalition, volunteers, members of community agencies?
- **Resources needed.** Consider what resources are needed for each activity. This may be financial resources as well as specific supplies like food, markers, or paper. Do any materials need to be purchased? Will they be donated?
- **Location.** Determine where to hold the various activities.

**Collaboration Partners.** In this section, identify the collaborative partners and their roles in the effort. Collaboration, including the development of additional community partnerships, is an integral part of any media awareness and advocacy effort to ensure the success of an RBS effort.

**Implementation Barriers.** Local laws and ordinances are difficult to change. It is helpful to forecast what the challenges or barriers might be and generate possible solutions for them. The RBS Planning Tool has prompts when considering the potential barriers and space to generate solutions to those barriers. There may be additional barriers encountered that the coalition should add to the Planning Tool. Although the solutions may not be currently known, the planning tool can be updated at any time.

## PROCESS EVALUATION

A process evaluation assesses what activities were implemented, the quality of the implementation, and the strengths and weaknesses of the implementation. This information can help to strengthen and improve the strategy over time.

### RBS IMPLEMENTATION TOOL

The RBS Implementation Tool is designed to assess several aspects of implementation, including whether the RBS training and media awareness and advocacy were implemented according to the plan. Information from the RBS Planning Tool is transferred to the subsequent sections of the RBS Implementation Tool and customized to best fit the needs of the RBS training and media strategies. Although all parts of the Planning Tool should be referred to periodically, the Implementation Tool should be used all of the time. 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 Component Outputs

In this part of the Implementation Tool, dates of each proposed activity and their anticipated output (as stated in the Planning Tool) are recorded in the appropriate column. Later, after each activity is implemented, the actual outputs for each component are recorded. The anticipated output can be expressed as the %Output. This number represents a comparison of the anticipated outputs and actual outputs. Dividing the actual output by the anticipated output and multiplying that number by 100 produces the %Output.

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

For example, if trainings for 50 merchants in a month were planned, use the Implementation Tool to record the actual number of merchants trained. If, by the end of the month only 30 of the 50 merchants were trained, the %Output would be 60% (30/50 x 100 = 60%). The Implementation Tool is designed to be as flexible as possible. The level of information recorded will vary depending on the particular environmental strategy. In some cases, it may be most efficient to record data on a day-by-day basis. In other cases, it may be most efficient to present data by summing up information over weeks or months.

**Component.** In this column, list the name of the component as stated in the Planning Tool. The two main components, the RBS trainings themselves and media awareness and advocacy to promote policy development, are already completed.

**Date.** In the "date" column, describe the time period that the information in that row represents. As stated above, data may be aggregated across different time spans. The type of date(s) recorded here may vary.

**Implemented as Planned?** The third column asks for a consideration of how well the components were implemented.

Rate the implementation as “high”, “medium”, or “low”. If the implementation of the activity was very close to or exactly like it was planned, the rating would be “high”. If, for whatever reason, major changes occurred during the implementation (e.g., certain barriers or practical considerations made it necessary to change the design), a rating of “low” would be appropriate.

**Anticipated Output(s).** In the fourth column, place the anticipated output(s) that were listed in the Planning Tool.

**Actual Output(s).** The actual output(s) are listed in this column. If, for example, the coalition planned to hold 10 RBS trainings over the course of the year but only 8 were held, 10 RBS trainings would be the “anticipated output” and 8 RBS trainings would be the “actual output”.

**%Output Actual/Anticipated.** Divide the actual output by the anticipated output and multiply by 100. Place that number in this column.

**Progress, Problems, and Lessons Learned.** Successes, challenges, barriers, changes to the RBS strategy, and other lessons learned with regard to activities should be recorded in this column.

### Planning Activities

The Implementation Tool monitors whether the tasks in the plan were completed in a timely fashion.

**Components, Key Planning Activities, Dates Scheduled to Complete Activity.** The specific component, the corresponding planning activity, and dates by which the activity was to be completed should be taken from the Planning Tool and reprinted here.

**Actual Date of Completion.** The date that the planning activity is actually completed should be entered here.

**Progress, Problems, and Lessons Learned.** Successes, challenges, barriers, changes to the RBS strategy and other lessons learned with regard to the completion of planning activities should be recorded under “Progress, Problems, and Lessons Learned”.

### Collaboration Partners

In this part of the Implementation Tool, address the extent to which the RBS strategy achieved the expected collaboration. There are three columns of information in this part:

**Anticipated Partner/Anticipated Role.** The anticipated partners are identified in the Planning Tool. Collaboration partners and their roles are copied into the anticipated partners and anticipated roles sections, respectively.

**Actual Partner/Actual Role.** In these columns, differences between the actual and anticipated partners and roles identified in the plan are documented. Agencies or organizations that

became partners after the strategy was initiated or after the plan was submitted may be identified here. When an anticipated partner does not collaborate as expected, this should be documented here and explained in greater detail under “Progress, Problems, and Lessons Learned”.

**Progress, Problems, and Lessons Learned.** Successes, challenges, barriers, changes to the activities and other lessons learned with regard to the collaboration partners should be recorded under “Progress, Problems, and Lessons Learned”.

### Progress, Problems, and Lessons Learned

For each part of the Implementation Tool, space is provided under “Progress, Problems, and Lessons Learned” to document the successes and challenges experienced during the implementation of the RBS strategy. Documenting and reviewing the progress, problems, and lessons learned on a regular basis helps to track ways that the RBS strategy might be adjusted to meet the needs of participants. Recording the successes and challenges is helpful for at least two reasons.

- Looking for barriers, obstacles, and challenges to the RBS strategy allows for the opportunity to make improvements.
- Recording challenges and successes helps to avoid pitfalls in future implementation of RBS training and media advocacy efforts.

There are two issues to be considered in the “Progress, Problems, and Lessons Learned” section. The first has to do with specific aspects of what went well and not so well during implementation. The second involves thoughtful consideration of areas in need of attention. How often these questions are addressed may vary, but it is important to ask these questions frequently and to keep a written record of any changes that need to be made. For example, when implementing the RBS trainings, evidence may indicate that most participants in the RBS training are servers not managers. Given that it is important to have managers trained in RBS as well, it may be useful to reconsider some of the activities (e.g., recruit managers to participate) and then to make necessary changes (e.g., perhaps get incentives for RBS training participation written into the licensing regulations).

### Complying with RBS Training:

While training is critical, alcohol outlets have very high turnover of staff. Also, management of these outlets may not readily endorse RBS. This lack of support has been shown to undermine servers’ implementation of RBS practices. Therefore, it is important that alcohol outlets receive training on an ongoing basis and that managers are encouraged to support RBS.

To address these two issues, it is recommended that the local governing authority track the date of training for each alcohol outlet in the area in an electronic database, such as Excel or Access. Reminders could be established to send notices to those outlets that have gone longer than one year (or other duration) without training. This would not ensure that all servers were trained at all times, but would at least set some minimum

standard. This may be less of an issue in states with a mandatory RBS training law in which servers must show proof in some way that they have been trained.

## OUTCOME EVALUATION

### What should be measured?

Evaluation data for an RBS strategy can come from many sources, including objective data (e.g., archival data) and subjective data (e.g., self-reported surveys). The following are examples of objective data that might be good outcomes to track as a result of enacting an RBS law or ordinance.

- The presence of an in-store (or off-premise) policy consistent with RBS.
- Signage posted about the store's policies.
- Improved law enforcement activities to target businesses that sell to minors.
- Reduced rates of DUI in the targeted area (e.g., neighborhood).
- Retailer violation rates.

This type of data could be gathered from the state or local police department, the local health department, and the Mothers Against Drunk Driving organization. In addition, there is web system called the Fatality Analysis Reporting System (FARS) organized by NHTSA ([www-fars.nhtsa.dot.gov](http://www-fars.nhtsa.dot.gov)) that allows users to access motor-vehicle crash data online. This database can be queried to produce reports at the state, county, or city level.

Subjective data that could be collected from a survey (e.g., merchants, youth, law enforcement) include:

- Knowledge of basic laws and regulations that govern the sale of alcohol.
- Self-report of underage drinking and drunk driving.
- Perception of being caught by law enforcement for driving while impaired.
- Awareness of impaired driving and zero tolerance laws.
- Improved merchants' skills about how to check for proper identification.
- "Place of last drink" on a DUI arrest form.

### REFERENCES

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Environmental Strategy: \_\_\_\_\_ Date \_\_\_\_\_

Name of person completing form: \_\_\_\_\_



**PLANNING TOOL**

# RESPONSIBLE BEVERAGE SERVICE (RBS)

## Summary

Briefly provide the title and summary for this environmental strategy.

**Title:**

**Summary:**

## Components

The two primary components for RBS are the RBS trainings and the efforts to use the media to promote RBS.

## Identifying Anticipated Outputs

What outputs will show that the activities were implemented as planned? Outputs are the direct products of activities and usually are measured in terms of work accomplished.

Component	Actions Taken	Anticipated Output(s): How many...
Component 1: RBS TRAINING	Number of alcohol outlets recruited	
	Number of servers recruited	
	Number of managers/owners recruited	

Component	Actions Taken	Anticipated Output(s): How many...
Component 2: MEDIA AWARENESS AND ADVOCACY	Press releases issued	___ releases, ___ media outlets
	Letters to the editor written	___ letters, ___ papers
	PSAs aired	
	Advertisements placed	
	Materials distributed	
	Press conferences held	
	Number of media personnel contacted	
	Number of alcohol outlets notified about the availability of RBS Training	
	Number of meetings with key stakeholders	
	Other:	
	Other:	

## Planning each component

Each component needs to be planned. Consider all of the activities that need to be completed in order to make each component successful. Each component includes several key activities.

### Component 1: RBS Training

Specify Key Activities	Scheduled Dates	Who Is Responsible?	Resources Needed/ Materials to Be Provided	Location
Send out letters to outlets advertising availability of RBS training.				
Have law enforcement distribute brochures advertising availability of RBS training.				
Pass regulation to allow those caught for selling to minors the first time to expunge their record by attending RBS training.				
Follow-up to see if all current employees are trained.				
Follow-up to see if in-store policies are enacted.				
Other:				
Other:				

## Component 2: Media Awareness and Advocacy

Specify Key Activities	Scheduled Dates	Who Is Responsible?	Resources Needed/ Materials to Be Provided	Location
Gather and update media contact lists.				
Select dates and places for any news conferences planned: <ol style="list-style-type: none"> <li>1. Have one describing the data collected about local alcohol-related problems, especially those related to underage drinking.</li> <li>2. Have a second news conference on the RBS law is changed or better enforced.</li> </ol>				
Contact and meet with those responsible for establishing, maintaining, and enforcing RBS law, including <ol style="list-style-type: none"> <li>a) The state office which regulates alcohol sales licenses.</li> <li>b) The local police department.</li> <li>c) The local planning department.</li> <li>d) Elected officials.</li> <li>e) Alcohol policy organizations.</li> <li>f) Organizations influenced by alcohol availability, such as neighborhood organizations.</li> </ol>				
Write a news release publicizing the problems that can be caused by minors obtaining alcohol.				
Work with local TV stations, radio stations, & newspapers to run PSAs describing the problems that can be caused when minors obtain alcohol and how RBS laws can help reduce these problems				
Mail a letter to the editors of local newspapers regarding the problems that can be caused by minors obtaining alcohol and how RBS laws can help reduce these problems.				
Invite the media to cover the public hearings about passing new RBS laws.				
Other:				
Other:				

## Collaboration Partners

Who are the collaboration partners for the RBS strategy and what are their intended roles?

Collaboration Partner	Role of Partner

## Potential Barriers and Solutions

Getting an RBS law passed and solutions can be difficult. It is helpful to forecast what these challenges or barriers might be and to generate possible solutions for them. In the table below, common barriers and potential solutions are listed. The group can add others in the spaces provided.

Potential Barriers	Potential Solutions
<p>RBS training programs may appear to be too costly for an establishment.</p>	<p>Some communities decrease the license fees for establishments that implement RBS training programs, thereby partly offsetting the cost of training. In addition, many insurance companies give discounts on dram shop liability insurance, as much as 25%, for outlets with server training programs.</p> <p>Other solutions:</p>
<p>There are different types of RBS trainings and the cost of training will differ depending on the type of RBS implemented.</p>	<p>RBS training is provided through different sources. Professional companies, for example, will likely charge more than a local alcohol and drug abuse agency. When introducing a local server training ordinance, the city council should be given a summary of appropriate training options for their community.</p> <p>Other solutions:</p>
<p>Other:</p>	<p>Other:</p>
<p>Other:</p>	<p>Other:</p>



## Summary Checklist

What must be done to prepare for this strategy? Indicate “Y” (Yes), “N” (No), or “NA” (Not Applicable) regarding the tasks below. Have these tasks/activities been sufficiently addressed?

CHECKLIST ITEM		If no, plan for completion	By when?
Component 1: RBS Training			
Y/N/NA	Resources obtained		
	Person responsible		
	Staff trained		
	Duties assigned		
	Location identified		
	Timeline written		
	Collaborative partners identified		
	Program materials developed		
	Barriers considered		
	Other:		
	Other:		

<b>CHECKLIST ITEM</b>		<b>If no, plan for completion</b>	<b>By when?</b>
Component 2: Media Awareness and Advocacy			
Y/N/NA	Resources obtained		
	Person responsible		
	Staff trained		
	Duties assigned		
	Location identified		
	Timeline written		
	Collaborative partners identified		
	Materials developed		
	Barriers considered		
	Other:		
	Other:		

Environmental Strategy: \_\_\_\_\_ Date: \_\_\_\_\_

Name of person completing form: \_\_\_\_\_



**IMPLEMENTATION TOOL**

# RESPONSIBLE BEVERAGE SERVICE (RBS)

## Monitoring Component Outputs

### Component 1: RBS Training

Output	Implemented as Planned? (High, Medium, Low, No)	Anticipated Output(s)	Actual Output(s)	% Output Actual/ Anticipated
Number of alcohol outlets trained				
Number of servers trained				
Number of managers/owners trained				

### Progress, Problems, & Lessons Learned Regarding Outputs

**Component 2: Media Awareness and Advocacy**

<b>Output</b>	<b>Imp. as Planned? (High, Medium, Low, No)</b>	<b>Anticipated Output(s)</b>	<b>Actual Output(s)</b>	<b>% Output Actual/ Anticipated</b>
Press releases issues				
Letters to the editor written				
PSAs aired				
Advertisements placed				
Materials distributed				
Press conferences held				
Number of media personnel contacted				
Number of alcohol outlets notified about the availability of RBS Training				
Number of meetings with key stakeholders				
Other:				
Other:				

**Progress, Problems, & Lessons Learned Regarding Program Outputs**

## Planning Activities

Components	Key Planning Activities	Dates Scheduled to Complete Activity	Actual Date of Completion
Component 1: RBS Training	Letters sent to merchants advertising availability of RBS training.		
	Law enforcement distribute brochures advertising availability of RBS training.		
	Pass regulation to allow those caught for selling to minors the first-time to expunge their record by attending RBS training.		
	Conduct RBS training ( <i>probably have trainings on multiple dates.</i> )		
	Follow-up to see if all current employees are trained.		
	Follow-up to see if in-store policies are enacted.		
	Other:		
	Other:		

### Progress, Problems, & Lessons Learned (i.e. barriers to not completing key activities on time)

Components	Key Planning Activities	Dates Scheduled to Complete Activity	Actual Date of Completion
Component 2: Media Awareness and Advocacy	Gather and update media contact lists.		
	Select dates and places for news conferences planned. 1. Have one describing the data collected about local alcohol-related problems, especially those related to underage drinking. 2. Have a second news conference on the RBS law if the RBS law is changed or better enforced.		
	Contact and meet with those responsible for establishing, maintaining, and enforcing RBS laws including: a) The state office which regulates alcohol sales licenses. b) The local police department. c) The local planning department. d) Elected officials. e) Alcohol policy organizations. f) Organizations influenced by alcohol availability, such as neighborhood organizations.		
	Write a news release publicizing the problems that can be caused by underage youth obtaining alcohol.		
	Work with the local TV stations, radio stations, & newspapers to run PSAs describing the problems that can be caused when underage youth obtain alcohol and how RBS can help reduce these problems.		
	Mail a letter to the editors of local newspapers regarding the problems that can be caused by minors obtaining alcohol and how RBS can help reduce these problems.		
	Invite the media to cover the public hearings you will attend about passing a new RBS law.		
	Other:		
	Other:		

Progress, Problems, & Lessons Learned (i.e., barriers for not completing key activities on time)

## Collaboration Partners

Anticipated Partner	Actual Partner	Anticipated Role	Actual Role

### Progress, Problems, & Lessons Learned Regarding Collaboration

# Example of ALCOHOL MANAGEMENT POLICY

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## Alcohol and Tobacco Management Policy for

### Name of Establishment

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Our goal is to create a safe environment where customers may purchase items they need in our store. These policies and procedures are designed to achieve this goal. Any employee found knowingly or deliberately violating these policies will be immediately terminated.

#### 1. Age identification

All customers attempting to buy alcohol or tobacco who appear to be under 35 years of age will be asked for age identification. Legally acceptable forms of identification are:

- Valid passport
- Valid state driver's license
- Military I.D.

All forms of legally acceptable identification must:

- Be issued by a government agency
- Contain the name of the person
- Contain a description of the person
- Contain a photo of the person
- Be currently valid (not expired)

No alcohol or tobacco products will be sold to any customer, regardless of age, who cannot provide valid age identification when it is requested.

If identification is presented that is not valid, the customer will be refused service and asked to leave. The incident will be documented. Employees will use the REFUSE system (see below).

**Recognize the need to check for and verify I.D. when alcohol is put on the counter or tobacco is requested.**

**Eliminate alcohol from sight and Explain your store policy (not selling alcohol to persons under 21 or tobacco to those under 18, requiring acceptable identification for those under 35, or not selling to intoxicated patrons).**

**Firm, yet polite.** You can keep the focus on you and your own predicament if you serve the customer, rather than focusing on the customer. Your own personal customer relations style will come into play here.

**Unite.** Ask for help from other employees or your manager. If you are working alone, consider calling your manager for help or even the police if the situation is serious.

**Shift your attention to the next customer by thanking the current customer for their other purchases.**

**Enter the occurrence in your establishment's incident log.**

#### 2. Intoxicated customers

No alcohol will be sold to an intoxicated customer. Signs of

intoxication include:

- Slurred speech
- Speaking loudly and inappropriately
- Bloodshot eyes
- Swaying when walking
- Loss of coordination: fumbling with money, dropping change

Employees will use the REFUSE system to refuse sales of alcohol to an intoxicated customer.

Employees will call the police to report any intoxicated customer who leaves the establishment and gets in a vehicle.

#### 3. Third-party sales

No alcohol or tobacco products will be sold to any adult who is suspected of purchasing for the purposes of selling or giving it to an underage person. Employees will use the REFUSE system of denying the sale of alcohol or tobacco products to such persons.

Employees will visually monitor the parking lot area to observe any loitering and phone the police when there are persons (youth or adults) loitering in the establishment's parking lot or nearby area. Employees will document in the incident log each occurrence of loitering.

#### 4. Attempted sale off-hours

No alcohol will be sold during restricted hours. Employees will use the REFUSE system to deny the sale of alcohol.

#### 5. Training

All employees, including clerks, managers and owners, will be trained in responsible alcohol and tobacco sales and service. At a minimum, this course shall include information on:

- The current laws and penalties regarding sales and provision of alcohol and tobacco products to underage persons.
- Bona fide age identification.
- Methods for detecting false identification.
- How to deal with problem situations, such as sales to underage persons, intoxicated customers, after-hours sales, and third-party sales.

- How to maintain incident documentation forms.
- How to implement the store’s policies and procedures most effectively.

A copy of the alcohol and tobacco policies and procedures will be distributed to every employee at the time of his or her hiring. All employees will be required to sign a statement indicating that they have read, understand and agree to implement the policies and procedures. Deliberately or knowingly violating any one of these policies or procedures will be grounds for immediate dismissal.

Managers/owners will periodically monitor employees’ performance in the area of implementing the policies and procedures to ensure that clerks are complying with them.

### 6. Signage/Promotions

We will stock and promote chilled low and non-alcoholic beverages along with alcoholic beverages, and will be mindful of the balance between the two.

Alcoholic beverages will be stocked where they are visible to a clerk or other employees at all times.

The following signs will be exhibited at all times within our establishment: (List signs and where they will be exhibited here)

No signage or promotions which are aimed at youth will be displayed.

### 7. Security

There will be adequate lighting in our parking lot and store.

The manager/owner will participate in any community neighborhood watch program, or other community support programs designed to reduce the number of alcohol-related problems in the area.

(Add here any other security measures, such as hiring private security guards, working more closely with the police, etc.)

## POLICY IMPLEMENTATION AND COMPLIANCE

There are some simple things that managers can do to make sure that their policies are upheld:

1. Hire employees who are conscientious. Provide them with your policies and procedures and have them sign a statement attesting that they have read and understood them and agree to implement them.
2. Discipline your employees who are not enforcing your policies and procedures, including your alcohol and tobacco policies and procedures. Terminate them if they are caught knowingly violating your policy (and document the reasons why).
3. Make sure all new employees are trained in responsible beverage and sales service.
4. Emphasize periodically with your staff that you want them to implement the policies and procedures.
5. Institute an incentive program for employees who are effectively implementing your responsible sales policies and procedures.
6. Conduct periodic spot checks or hire a “shopper” to check on employees to monitor their implementation of policies and procedures.
7. Support your employees when they refuse sales to a customer.
8. Do not allow your employees to drink on the premises while on duty or after hours.

# SAMPLE ORDINANCE

## RESPONSIBLE BEVERAGE SERVER TRAINING MODEL

### MODEL ORDINANCES

The proposed ordinance requires everyone involved in the selling and serving of alcoholic beverages to participate in a city-approved training program related to preventing alcohol sales to underage individuals.

This ordinance is based on Rochester, MN ordinance §810.60(12). See also Oregon Statute §471.542.

### SERVER TRAINING

#### *Licensees.*

1. All persons licensed under [insert citation to non-temporary liquor license ordinances] shall attend all mandatory liquor license training seminars required by the city. If the license is in the name of an entity other than an individual person, a person or persons must be designated to attend the seminar on behalf of the licensee. This designee must have the authority to set, implement or change the licensee's practices for selling and serving alcohol.

2. All persons applying for a temporary liquor license under [insert citation to temporary liquor license ordinance] and all persons to be employed by them in selling, serving or managing the selling or serving of alcohol shall have completed a city-approved server education class or liquor license training seminar within two (2) years prior to the issuance of the temporary liquor license.

3. All persons licensed under [insert non-temporary liquor license ordinances] shall require all their employees who are engaged in the selling or serving of alcoholic beverages or the managing thereof to complete a city-approved server education class:

1. Within ninety (90) days of beginning employment, and
2. Every other year thereafter unless probationary extension is granted for hardship reasons.

OR

4. All persons licensed under [insert citation to non-temporary liquor license ordinances] shall require all their employees who are engaged in the selling, serving, delivering, or managing the selling or serving of alcohol to obtain a license under the [insert citation to server license ordinance].

#### *Penalties.*

The penalties for violation of this section shall be as follows:

6. For the first violation, a fine not exceeding fifty dollars (\$50).

For subsequent violations, a fine not exceeding seven hundred (\$700) dollars and suspension of the licensee's liquor license for thirty (30) days. This ordinance shall take effect within \_\_ days.

This second proposed ordinance allows a seven (7) percent reduction in liquor license fees to those licensees who require their employees to undergo a city-approved server training course. The licensee must also agree to maintain certain documents on-site, post signage related to underage drinking, and allow a city-approved security agency to make periodic investigations of their licensed business, including unannounced, random attempts to buy alcohol by underage persons.

This ordinance is based on St. Paul, MN Ordinance §310.19.

### DISCOUNT FROM LIQUOR LICENSE FEES FOR RESPONSIBLE BEVERAGE SERVER TRAINING

#### *Terms of Discount.*

A discount will be provided for on-sale liquor licenses and shall reduce such fees stated in [ insert citation of liquor license fees ordinance ] by seven (7%), contingent upon each of the following conditions:

**1. Driver's License Guide; Compilation of Laws.** The licensee shall maintain on the premises, in a location accessible at all times to all employees of the licensed establishment:

**A.** A current driver's license guide, which shall include license specifications for both adults and minors for each state (including Canadian provinces), and shall list such information from at least five (5) years prior to the present date; and

**B.** A current compilation of the laws relating to the sale and possession of alcoholic beverages in the State. This compilation must also include [ insert citation of all ordinances regulating liquor licenses in city].

**2. Signage.** The licensee shall maintain on the premises, in all customer areas, current signage relating to underage consumption of alcoholic beverages, and relating to driving under the influence of alcohol. One (1) sign must be located behind the bar, and one (1) sign must be present in each additional room or section within the lounge area in which the writing on the sign behind the bar is not clearly legible. The sign(s) must have dimensions of at least one (1) foot by one (1) foot with letters at least one-half (1/2) inch in height. All signs must be comfortably readable from a distance of fifteen (15) feet.

**3. Contract with seller/server training agency.** The licensee shall participate in a training program with an approved seller/server training agency (hereafter "training agency") which is selected and contracted with the City for the purpose of providing investigations and training to the licensee pursuant to this subsection. The city contract shall provide (i) that the selected agency shall not be reimbursed by the city, but that it shall recover its costs and profit by fees collected from the licensees which choose to receive the training program and investigative services, and (ii) that the training agencies shall charge the same amount to all licensees who choose to receive

such services, so that all such licensees are treated equally and without discrimination.

**4. Training.** The contract shall provide responsible beverage service training by the training agency of all officers, employees or agents of the licensee who work in the licensed premises at least once during the calendar year. All newly hired employees or new officers or agents hired during the calendar year shall receive such training within four (4) weeks following their hiring, and shall not work in the premises after that four-week period until they have received such training.

**5. Standards for approval.** In addition to the requirements specified elsewhere, the training agency must teach the following:

- A. Pertinent laws and ordinances regarding the sale of alcohol;
- B. Verification of age, forms of identification, and forms of false or misleading age identification;
- C. The effect of alcohol on humans and the physiology of alcohol intoxication;
- D. Recognition of the signs of intoxication;
- E. Strategies for intervention to prevent intoxicated persons from consuming further alcohol;
- F. The licensee's policies and guidelines, and the employee's role in observing these policies;
- G. Liability of the person serving alcohol;
- H. Effect of alcohol on pregnant women and their fetuses, and in other vulnerable situations

The training agency shall have a minimum of two (2) years actual experience in alcohol awareness training. The courses may be given by one (1) or more instructors, but each instructor must have a formal education and/or training in each area they teach. The courses may be supplemented by audio-visual instruction.

The training agency shall have sufficient personnel and physical resources to provide a responsible beverage service training course to newly hired employees within four (4) weeks after their hiring by the licensee with whom there is a contract.

**6. Investigation.** The contract with the city shall provide for and require one (1) or more investigations by the training agency each calendar year into the practices of the licensee with respect to:

1. age identification of customers in order to prevent sales of alcoholic beverages to minors, and
2. preventing the sale of alcoholic beverages to persons who are obviously intoxicated.
3. The contract shall require that the security agency disclose the results of all such investigations to both the licensee and, at no cost to the city, within ten (10) days after such investigations are concluded. Failure to do so will be grounds for adverse action against the licensee's licenses. The contract shall require that all such investigations shall include unannounced and random attempts by minors to purchase alcoholic beverages in the licensed premises, and surveillance within the licensed premises. The security agency shall employ reasonable measures to minimize or eliminate conflicts of interest in providing and reporting on investigations of licensees.



# 2. Alcohol Compliance Checks

### Research Summary on Alcohol Compliance Checks:

Research indicates that the frequent use of compliance checks decreases alcohol sales to minors almost by half (Grube, 1997; Holder, 2000; Preusser, Williams, and Weinstein, 1994). Lewis et al. (1996) report that Florida has kept compliance rates at 88-90% over the last 20 years due to the vigorous use of compliance checks by community coalitions. In the Community Trials Project, compliance checks were part of an overall comprehensive community program in which alcohol-related accidents were also significantly

reduced (Holder, 2000). Compliance checks are thought to be most effective when they are frequent, well-publicized, well-designed, solicit community support, and involve penalties to the licensed establishment, rather than just the server (Mosher & Stewart, 1999; Toomey & Wagenaar, 2002). Applying penalties to the licensed holder will stimulate managerial changes to support a working culture and environment that abides by alcohol sales laws. By decreasing alcohol availability, compliance checks are believed to also reduce alcohol-related problems and crime among youth.

## PLANNING

**Use the media prior to conducting compliance checks to build community support from both merchants and other community members for the strategy.** Without gaining the support of community members, law enforcement, and/or merchants, this strategy may merely be seen as a way to target and unnecessarily punish merchants. The community needs to understand why this strategy is needed by understanding the frequency of illegal alcohol purchases by youth, the nature and rate of youth alcohol-related problems within the community, and the link between alcohol availability, consumption, and alcohol-related problems. In addition, media advocacy may be needed to convince a skeptical community and police force to commit resources to implementing these checks.

Conduct awareness activities in the community to show the link between the ease with which minors can purchase alcohol illegally and the rate/type of alcohol-related problems. Use the media to support compliance checks by:

- a) Increasing awareness about the problem and the suggested solutions. This includes providing information about the current levels of underage drinking and how this contributes to alcohol and other related problems in the community;
- b) Increasing awareness about how compliance checks can help address the problem. This includes informing the community about the implementation of the compliance checks and the results (i.e., publicizing violators and those that abide by the law).

The following are different media awareness and advocacy strategies that can be utilized:

- a. Contact a local representative to convince him or her that supporting compliance checks is a good idea.
- b. Hold individual meetings with those in key positions to affect change (e.g., elected officials, alcohol policy organizations, and organizations

influenced by alcohol availability, such as neighborhood organizations).

- c. Hold a press conference describing the data collected about the number of alcohol-related problems that occur in the community and how illegal alcohol purchases of alcohol contributes to this problem.
- d. Work with local media outlets to air PSAs describing the problems of illegal alcohol purchases and how compliance checks can help reduce the problems.
- e. Write letters to the editor about how illegal alcohol purchases is a problem and how compliance checks can help.
- f. Try to get media coverage of the problem. Stage a rally or an event in or near an area with alcohol outlets that are known to sell to minors.
- g. Issue press releases highlighting key activities and important events, such as the results of compliance checks.
- h. Write an “Op-Ed” piece. See FACE ([www.faceproject.org](http://www.faceproject.org)) for a sample Op-Ed piece and instructions.
- i. Ensure that the coalition members are available to be interviewed and educate all members about the data on illegal alcohol purchases so they are well-prepared and knowledgeable.

**Build community support for this** strategy from merchants, other community members, and law enforcement. One way to build support for conducting compliance checks is to conduct a town hall meeting. A town hall meeting as a mechanism is very similar to the policy panel described in Chapter 1. It involves local prominent persons speaking in front of an audience about this issue. Use the text on Policy Panels to help plan a town hall meeting.

## Tools for Planning, Implementation and Evaluation:

In this example, there are several tools that can be customized and utilized in the community to help plan, implement, and evaluate compliance checks.

- **Compliance Checks Planning Tool**
- **Compliance Checks Implementation Tool**
- **Compliance Checks Outcome Evaluation Tool (Appendix N)**
- **Compliance Check Summary Form**
- **Buyer Report**

### COMPLIANCE CHECKS PLANNING TOOL

The Compliance Check Planning Tool will help plan the two primary components of this strategy: the compliance checks and efforts to use the media to promote them.

**Identifying Anticipated Outputs.** Outputs are the direct products of the strategy's components and usually are measured in terms of work accomplished (e.g., number of compliance checks done, number of alcohol sales to minors) Outputs indicate whether the strategy is going in the direction that was intended. The Compliance Checks Planning Tool already has several anticipated outputs listed that will be important to track over time. It may be necessary to add others.

**Planning Each Component.** Document the major activities that need to be completed in order to be successful in implementing the compliance checks and the media efforts to promote them. It is important to list each of these activities since this is where detailed action steps will occur. We have specified activities that are useful in planning the compliance checks and the media efforts to promote them in the Compliance Checks Planning Tool. For each activity, consider the important planning elements:

- **Scheduled dates.** When will the activities occur? By deciding upon the approximate dates for the completion of each activity, a timeline will emerge. Use these dates to assess if the component is being implemented in a timely fashion.
- **Who will be responsible?** Before implementation, decide who will be responsible for each activity. Will it be staff of the coalition, volunteers, members of community agencies?
- **Resources needed.** Consider what resources are needed for each activity. This may be financial resources as well as specific supplies. Do any materials need to be purchased? Will they be donated?
- **Location.** Determine where to hold the various activities.

**Collaboration Partners.** In this section, identify the collaborative partners and their roles in the effort. Collaboration, including the development of additional community partnerships, is an integral part to ensure the success of effective compliance checks.

**Implementation Barriers.** Compliance checks can be difficult to implement. It is helpful to forecast what the challenges or

barriers might be and generate possible solutions for them. The Compliance Checks Planning Tool has prompts when considering the potential barriers and space to generate solutions to those barriers. There may be additional barriers encountered that the coalition should add to the Planning Tool. Although the solutions may not be currently known, the Planning Tool can be updated at any time.

## PROCESS EVALUATION

A process evaluation assesses what activities were implemented, the quality of the implementation, and the strengths and weaknesses of the implementation. This information can help to strengthen and improve the strategy over time.

### COMPLIANCE CHECKS IMPLEMENTATION TOOL

The Compliance Checks Implementation Tool is designed to assess several aspects of implementation, including whether the compliance checks and media awareness and advocacy were implemented according to the plan. Information from the Compliance Checks Planning Tool is transferred to the subsequent sections of the Compliance Checks Implementation Tool. Although all parts of the Planning Tool should be referred to periodically, the Implementation Tool should be used all of the time. Information is most useful when recorded during or immediately after each check, series of checks, or activity leading up to the checks. Otherwise, important information that could help improve the chances of achieving results might be overlooked or forgotten.

### Monitoring Component Outputs

In this part of the Implementation Tool, dates of each proposed activity and their anticipated output (as stated in the Planning Tool) are recorded in the appropriate column. Later, after each activity is implemented, the actual outputs for each component are recorded. The anticipated output can be expressed as the %Output. This number represents a comparison of the anticipated outputs and actual outputs. Dividing the actual output by the anticipated output and multiplying that number by 100 produces the %Output.

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

For example, if 30 compliance checks in convenience stores in a month were planned, use the Implementation Tool to record the number of compliance checks done. If only 15 compliance checks were done, the %Output would be 50% ( $15/30 \times 100 = 50\%$ ). The Implementation Tool is designed flexible. The level of information recorded will vary depending on the particular environmental strategy. In some cases, it may be most efficient to record data on a day-by-day basis. In other cases, it may be most efficient to present data by summing up information over weeks or months.

**Component.** In this column, list the name of the component as stated in the Planning Tool. The two main components, the compliance checks themselves and the media advocacy components, are already completed.

**Date.** In the “date” column, describe the time period that the information in that row represents. As stated above, data may be aggregated across different time spans. The type of date(s) recorded here may vary.

**Implemented as Planned?** The third column asks for a consideration of how well the components were implemented. Rate the implementation as “high”, “medium”, or “low”. If the implementation of the activity was very close to or exactly like it was planned, the rating would be “high”. If, for whatever reason, major changes occurred during the implementation (e.g., certain barriers or practical considerations made it necessary to change the design), a rating of “low” would be appropriate.

**Anticipated Output(s).** In the fourth column, place the anticipated output(s) that were listed in the Planning Tool.

**Actual Output(s).** The actual output(s) are listed in this column. If, for example, 10 officers were expected to participate in this wave of compliance checks but only 8 participated, 10 officers would be the “anticipated output” and 8 officers would be the “actual output”.

**%Output Actual/Anticipated.** Divide the actual output by the anticipated output and multiply by 100. Place that number in this column.

**Progress, Problems, and Lessons Learned.** Successes, challenges, barriers, changes to the compliance check strategy, and other lessons learned with regard to activities should be recorded in this column.

### **Planning Activities**

The Implementation Tool monitors whether the tasks in the plan were completed in a timely fashion.

**Components, Key Planning Activities, Dates Scheduled to Complete Activity.** The specific component, the corresponding planning activity, and dates by which the activity was to be completed should be taken from the Planning Tool and reprinted here.

**Actual Date of Completion.** The date that the planning activity is actually completed should be entered here.

**Progress, Problems, and Lessons Learned.** Successes, challenges, barriers, changes to the compliance check strategy and other lessons learned with regard to the completion of planning activities should be recorded under “Progress, Problems, and Lessons Learned”.

### **Collaboration Partners**

In this part of the Implementation Tool, address the extent to which the compliance check strategy has achieved the expected collaboration. There are three sections of information in this part:

**Anticipated Partner/Anticipated Role.** The anticipated partners are identified in the Planning Tool. Collaboration partners and their roles are copied into the anticipated partners and anticipated roles sections, respectively.

**Actual Partner/Actual Role.** In these columns, differences between the actual and anticipated partners and roles identified in the plan are documented. Agencies or organizations that became partners after the strategy was initiated or after the plan was submitted may be identified here. When an anticipated partner does not collaborate as expected, this should be documented here and explained in greater detail under “Progress, Problems, and Lessons Learned”.

**Progress, Problems, and Lessons Learned.** Successes, challenges, barriers, changes to the activities and other lessons learned with regard to the collaboration partners should be recorded under “Progress, Problems, and Lessons Learned”.

### **Progress, Problems, and Lessons Learned**

For each part of the Implementation Tool, space is provided under “Progress, Problems, and Lessons Learned” to document the successes and challenges experienced during the implementation of the compliance check strategy. Documenting and reviewing the progress, problems, and lessons learned on a regular basis helps to track ways that the compliance check strategy might be adjusted to meet the needs of participants. Recording the successes and challenges is helpful for at least two reasons.

- Looking for barriers, obstacles, and challenges to the compliance check strategy allows for the opportunity to make improvements.
- Recording challenges and successes helps to avoid pitfalls in future implementation of compliance checks.

There are two issues to be considered in the “Progress, Problems, and Lessons Learned” section. The first has to do with specific aspects of what went well and not so well during implementation. The second involves thoughtful consideration of areas in need of attention. How often these questions are addressed may vary, but it is important to ask these questions frequently and to keep a written record of any changes that need to be made. For example, when implementing the compliance checks, it may be that many violators are successfully challenging their violations because the buyers appeared “old enough”. Then it may be useful to rethink some of the strategies undertaken by the compliance check program (i.e., hold an age assessment panel) and make necessary changes (e.g., perhaps use younger appearing buyers) to ensure that a larger number of violations are upheld.

### **Additional Tools and Samples to Customize:**

In this example, there is additional information about conducting and monitoring the effectiveness of compliance checks. The Compliance Checks Summary Form tracks the total results of each “wave” of compliance checks. Also included are suggestions about how to gather information about each individual buy attempt (See Buyer Report). This form was developed by the Alcohol Epidemiology Program (AEP), a research program within the School of Public Health at the University of Minnesota in

Minneapolis. This group also has extensive information on how to plan, implement, and evaluate compliance checks. The website is [www.epi.umn.edu/alcohol](http://www.epi.umn.edu/alcohol). Additionally, the Office of Juvenile Justice and Delinquency Prevention funds an Underage Drinking Enforcement Training Center through the Pacific Institute for Research and Evaluation which also has information about compliance check protocols and sample forms. The website is [www.udetc.org](http://www.udetc.org). Sample press releases, op-ed pieces, and policy forms can also be accessed at [www.faceproject.org](http://www.faceproject.org).

## OUTCOME EVALUATION

### What should be measured?

Evaluation data for compliance checks can come from many sources, including objective data (e.g., archival data) and subjective data (e.g., self-reported surveys). The following are examples of objective data that might be good outcomes to track as a result of conducting compliance checks:

- Rates of alcohol-related crashes, injuries, and fatalities in traffic accidents. Note: One common indicator used is single vehicle crashes between 8 p.m. and 4 a.m., which is a measure closely related to alcohol-related crashes involving drivers with known illegal blood alcohol levels
- Rates of youth motor-vehicle crashes
- Rates of youth DUI arrests and convictions

This type of data could be gathered from the state or local police department, the local health department, and the Mothers Against Drunk Driving organization. In addition, there is a web system called the Fatality Analysis Reporting System (FARS) organized by NHTSA ([www-fars.nhtsa.dot.gov](http://www-fars.nhtsa.dot.gov)) that allows users to access motor-vehicle crash data online. Its database can be queried to produce reports at the state, county, or city level.

Subjective data that could be collected from a survey (e.g., merchants, youth, law enforcement) include:

- Self-report of underage drinking and drunk driving
- Perceived likelihood of being caught driving with an illegal blood alcohol level
- Awareness of impaired driving and zero tolerance laws
- Place where alcohol was last bought on a DUI arrest form
- Degree of support from merchants

### COMPLIANCE CHECK OUTCOME EVALUATION TOOL

It is important for communities to have various types of information about the strategies documented. The Outcome Evaluation Tool is designed to organize the following information:

- **Summary of the needs and resources assessments:** Briefly summarize the results of the needs and resources assessments.
- **The target group (including numbers):** Briefly state who the target population is (e.g., merchants, policymakers, etc.) and how many were reached.
- **Desired Outcomes:** This information is available from the Accountability Question – Goals.

- **Measures used:** Document what measure(s) were chosen.
- **Design chosen:** Document which evaluation design was utilized.
- **Number of people who were measured in the evaluation:** How many completed the evaluation? (Skip this section if the only method was a review of archival data.)
- **Data analysis method:** How were the data analyzed?
- **Pre and Post scores and their differences (if applicable):** Calculate the post score minus pre score for each participant to obtain the “difference” score between the two. Then take an average of all those “difference” scores.
- **Interpretation of the results:** What interpretations can be made when all of the data are considered together?

Using the Outcome Evaluation Tool in this way can also assist when writing reports for various constituencies, including funders.

### REFERENCES

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- Willingham, M. (2000). *Reducing alcohol sales to underage purchasers*. Prepared by the Office of Juvenile Justice and Delinquency Prevention and the Underage Drinking Enforcement Training Center. Calverton, MD: Pacific Institute for Research and Evaluation.

Environmental Strategy: \_\_\_\_\_ Date \_\_\_\_\_

Name of person completing form: \_\_\_\_\_



**PLANNING TOOL**

# ALCOHOL COMPLIANCE CHECKS

## Summary

Briefly provide the title and summary for this environmental strategy.

**Title:**

**Summary:**

## Components

The two primary components are the alcohol compliance checks and the efforts to use the media to promote them.

## Identifying Anticipated Outputs

What outputs will show that the activities were implemented as planned? Outputs are the direct products of activities and usually are measured in terms of work accomplished.

Component	Actions Taken	Anticipated Output(s): How many....
Component 1: COMPLIANCE CHECKS	Number of compliance checks planned	
	Number of officers recruited	
	Number of youth buyers recruited	

Component	Actions Taken	Anticipated Output(s): How many....
Component 2: MEDIA AWARENESS AND ADVOCACY	Press releases issued	__releases, __media outlets
	Letters to the editor written	__letters, __papers
	PSAs aired	
	Advertisements placed	
	Materials distributed	
	Press conferences held	
	Number of media personnel contacted	
	Number of alcohol outlets notified about upcoming alcohol compliance checks	
	Number of meetings with key stakeholders	
	Other:	
	Other:	

## Planning each component

Each component needs to be planned. Consider all of the activities that need to be completed in order to make each component successful. Each component includes several key activities.

### Component 1: Compliance Checks

Specify Key Activities	Scheduled Dates	Who Is Responsible?	Resources Needed/ Materials to Be Provided	Location
1. Determine type of compliance check to be done.				
2. Review existing ordinances.				
3. Revise ordinances (optional).				
4. Make decisions regarding: a. Type of alcohol to purchase. b. One vs. two officers. c. One vs. multiple buyers. d. Viewing the buyer(s). e. Buyer compensation (paid vs. volunteer). f. Immediate vs. delayed post-buy attempt contact.				
5. Select sites to be checked.				
6. Review plan with the Prosecuting Attorney and the city council/licensing authority.				
7. Notify businesses (see component 2).				
8. Notify community (see component 2).				
9. Hire and train buyers. a. Advertise/recruit buyer applicants. b. Recruit and schedule age assessment panel members. c. Hold age assessment panel. d. Select and hire buyers based on results of assessment panel. e. Train buyers. Select, train, and document youth who volunteer with the compliance checks.				
10. Logistics. Develop the specific procedures for each compliance check (plan every step of the scenario from where to park the car to developing a plan for the potential response of each seller). a. Prepare necessary forms. b. Plan routes – establish target lists with specified criteria (random, region, etc.). c. Schedule buyers and officer(s). d. Obtain and document cash for purchases.				
11. Implement the compliance check according to protocol.				
12. Complete reports and refer to appropriate authority for criminal or administrative charges.				

## Component 2: Media Awareness and Advocacy

Specify Key Activities	Scheduled Dates	Who Is Responsible?	Resources Needed/ Materials to Be Provided	Location
<b>BEFORE COMPLIANCE CHECKS</b>				
Gather and update media contact lists.				
Select dates and places for news conferences to discuss the baseline compliance check results.				
Coordinate the promotional effort with law enforcement agencies in the areas of the compliance checks.				
Write a media advisory and news release publicizing that the compliance checks will be happening.				
Work with local TV stations, radio stations, & newspapers to run PSAs promoting the upcoming checks.				
Encourage the local paper to run an article about the effect of illegal purchase of alcohol in your community.				
Mail a media advisory to key media contacts.				
Invite the media to cover a compliance check training session.				
Notify merchants that the compliance checks will be taking place soon and that they will be caught if they sell to underage patrons.				
Other:				
Other:				

**Component 2: Media Awareness and Advocacy (continued)**

Specify Key Activities	Scheduled Dates	Who Is Responsible?	Resources Needed/ Materials to Be Provided	Location
<b>AFTER COMPLIANCE CHECKS</b>				
Select dates and places for news conferences to discuss the compliance check results.				
Write a media advisory and news release publicizing the results.				
Work with local TV stations, radio stations, & newspapers to run PSAs promoting the results.				
Encourage the local paper to run an article about the results.				
Mail a media advisory to key media contacts about the results.				
Send letters of congratulations/ thanks to businesses/sellers who did not sell.				
Distribute list of businesses/sellers who did not sell through various media channels and other groups (e.g. churches, PTA/PTO).				
Issue press releases to the community about the results.				
Other:				
Other:				

## Collaboration Partners

Who are the collaboration partners for the compliance check strategy and what are their intended roles?

Collaboration Partner	Role of Partner

## Potential Barriers and Solutions

Compliance checks can be difficult to implement and often face many challenges. It is helpful to forecast what these challenges or barriers might be and to generate possible solutions for them. In the table below, common barriers and potential solutions are listed. The group can add others in the spaces provided.

Potential Barriers	Potential Solutions
Lack of law enforcement, political, and community support for this approach. There could potentially be strong, organized opposition from alcohol license holders.	Gather support from community coalitions and other key stakeholder groups by highlighting that selling to minors is illegal and can result in significant injuries and death. It will be important to convince merchants that not selling to minors is a good and responsible business practice.
Compliance checks may be viewed as using too many resources.	Conducting compliance checks may cost as little as \$10 per licensed establishment ( <a href="http://www.epi.umn.edu/alcohol/policy/compchks.shtm">http://www.epi.umn.edu/alcohol/policy/compchks.shtm</a> ). The overall cost depends on police time, transportation, and youth benefits. Some ideas for defraying costs include passing community ordinances in which a fraction of the fines paid by non-compliant merchants cover the cost of the checks, alcohol license fees are increased, and coalition members plan of much as the intervention as possible before paying for law enforcement time.
Compliance checks that are not conducted properly and that could be classified as “entrapment” may be challenged in court by alcohol licensees and employees.	It is particularly important to adequately select and train the youth involved with the compliance checks to avoid this problem and to document everything about the compliance check.
Other:	Other:
Other:	Other:



## Summary Checklist

What must be done to prepare for this strategy? Indicate “Y” (Yes), “N” (No), or “NA” (Not Applicable) regarding the tasks below. Have these tasks/activities been sufficiently addressed?

CHECKLIST ITEM		If no, plan for completion	By when?
Component 1: Compliance Checks			
Y/N/NA	Resources obtained		
	Person responsible		
	Staff trained		
	Duties assigned		
	Location identified		
	Timeline written		
	Collaborative partners identified		
	Program materials developed		
	Barriers considered		
	Other:		
	Other:		

<b>CHECKLIST ITEM</b>		<b>If no, plan for completion</b>	<b>By when?</b>
Component 2: Media Awareness and Advocacy			
Y/N/NA	Resources obtained		
	Person responsible		
	Staff trained		
	Duties assigned		
	Location identified		
	Timeline written		
	Collaborative partners identified		
	Program materials developed		
	Barriers considered		
	Other:		
	Other:		

# COMPLIANCE CHECKS SUMMARY FORM

Outlet #	Date of Check	Name of Outlet	Type of Outlet (off/on premises)	Name of Buying Youth(s)	Was Youth Able to Purchase? (Y/N)
1.					
2.					
3.					
4.					
5.					
6.					
7.					
8.					
9.					
10.					
11.					
12.					
13.					
14.					
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36.					
37.					
38.					
39.					
40.					
41.					
42.					
43.					
44.					
45.					
46.					
47.					
48.					
49.					
50.					
Totals			Number checked on premises = _____  Number checked off premises = _____		Total violation rate= Number of violations (Ys in this column) ÷ Total outlets checked  On premises violation rate= Number of on-premises violations (Ys) ÷ Total on- premises outlets checked  Off premises violation rate= Number of off-premises violations (Ys) ÷ Total off- premises outlets checked

## BUYER REPORT

\_\_\_\_\_ Law Enforcement Agency

Case No. \_\_\_\_\_

Date of Attempt: \_\_/\_\_/\_\_\_\_  
mm/dd/yyyy

Time in:\_\_\_\_ Time out:\_\_\_\_\_

### BUYER INFORMATION

My name is \_\_\_\_\_. I am \_\_\_\_ years old. My date of birth is: \_\_/\_\_/\_\_\_\_ .  
mm/dd/yyyy

I was born in (\_\_\_\_ county), (\_\_\_\_ state) .

### BUSINESS INFORMATION

Name of Business: \_\_\_\_\_ Address: \_\_\_\_\_

RETAIL LICENSE #: \_\_\_\_\_

#### TYPE

- Convenience Store/ Gas Station
- Convenience Store Only
- Bar/Tavern
- Hotel
- Restaurant

- General Merchandise
- Small Grocery
- Large Grocery
- Drug Store
- Other: \_\_\_\_\_

### PURCHASE

I purchased, (describe alcohol purchased), an alcoholic beverage and paid \$ \_ . \_ \_ to the seller described below.

I was ( ) was not ( ) questioned as to my age.

I was ( ) was not ( ) asked for an ID.

### REFUSAL TO SELL

I attempted to purchase (describe alcohol taken to the counter), an alcoholic beverage, but the seller:  
( ) refused to sell to me.

( ) asked for an ID and when I gave my excuse for not having an ID refused to sell to me.

( ) asked my age and when I said my true age refused to sell to me.

**SELLER DESCRIPTION**

The clerk/cashier/waitperson/bartender is: (Describe)

- ( ) Male
- ( ) Female

Hair color:\_\_\_\_\_ Shirt/Top color:\_\_\_\_\_

Trousers/dress/bottom color:\_\_\_\_\_

Height:\_\_\_\_\_ Weight:\_\_\_\_\_ Age:\_\_\_\_\_

Other (ID/name badge, etc.):\_\_\_\_\_

At the time of the purchase, I did not possess nor did I display any form of written identification.

I have read the above statement and all facts are true and correct.

Print Name:\_\_\_\_\_

Signature:\_\_\_\_\_

Date:\_\_\_\_\_

Witnessing Officer

Print Name:\_\_\_\_\_

Signature:\_\_\_\_\_

Date:\_\_\_\_\_

Environmental Strategy: \_\_\_\_\_ Date \_\_\_\_\_

Name of person completing form: \_\_\_\_\_



**IMPLEMENTATION TOOL**

# ALCOHOL COMPLIANCE CHECKS

## Monitoring Component Outputs

### Component 1: Compliance Checks

Output	Implemented as Planned? (High, Medium, Low, No)	Anticipated Output(s)	Actual Output(s)	% Output Actual/ Anticipated
Number of compliance checks completed				
Number of officers used				
Number of youth buyers used				
Other:				
Other:				

### Progress, Problems, & Lessons Learned Regarding Outputs

**Component 2: Media Awareness and Advocacy**

<b>Output</b>	<b>Implemented as Planned? (High, Medium, Low, No)</b>	<b>Anticipated Output(s)</b>	<b>Actual Output(s)</b>	<b>% Output Actual/ Anticipated</b>
Press releases issued				
Letters to the editor written				
PSAs aired				
Advertisements placed				
Materials distributed				
Press conferences held				
Number of media personnel contacted				
Number of alcohol outlets notified about upcoming checks				
Number of meetings with key stakeholders				
Other:				
Other:				

**Progress, Problems, & Lessons Learned Regarding Outputs**

## Planning Activities

Components	Key Planning Activities	Dates Scheduled to Complete Activity	Actual Date of Completion
Component 1: COMPLIANCE CHECKS	1. Type of compliance check identified.		
	2. Review existing ordinances.		
	3. Revise ordinances (optional).		
	4. Make decisions regarding: a. Type of alcohol to purchase b. One vs. two officers c. One vs. multiple buyers d. Viewing the buyer(s) e. Buyer compensation (paid vs. volunteer) f. Immediate vs. delayed post-buy attempt contact		
	5. Select sites to be checked.		
	6. Review plan with the Prosecuting Attorney and the city council/licensing authority.		
	7. Notify businesses (see component 2)		
	8. Notify community (see component 2)		
	9. Hire and train buyers a. Advertise/recruit buyers b. Recruit and schedule age assessment panel members i. Hold age assessment panel ii. Select and hire buyers based on results of assessment panel c. Train buyers. Select, train, and document youth who volunteer to do compliance checks.		
	10. Logistics. Develop the specific procedures for each compliance check (plan every step of the scenario from where to park the car to developing a plan for the potential response of each seller). a. Prepare necessary forms b. Plan routes – establish target lists with specified criteria (random, region, etc.) c. Schedule buyers and officer(s) d. Obtain and document cash for purchases		
	11. Implement the compliance check according to protocol.		
	12. Complete reports and refer to appropriate authority for criminal or administrative charges.		

**Progress, Problems, & Lessons Learned (i.e., barriers for not completing key activities on time)**

Components	Key Planning Activities	Dates Scheduled to Complete Activity	Actual Date of Completion
Component 2: MEDIA AWARENESS AND ADVOCACY	<b>BEFORE IMPLEMENTATION</b>		
	Gather and update media contact lists.		
	Select dates and places for news conferences to discuss the baseline compliance check results.		
	Coordinate the promotional effort with law enforcement agencies in your area.		
	Write a media advisory and news release publicizing that the checks will be happening.		
	Work with local TV stations, radio stations, & newspapers to run PSAs promoting the upcoming checks.		
	Encourage the local paper to run an article about the effects of illegal purchase of alcohol in your community.		
	Mail a media advisory to key media contacts.		
	Invite the media to cover a compliance check training session.		
	Notify merchants that the compliance checks will be taking place soon and that they will be caught if they sell to underage patrons.		
	Other:		
	Other:		

Components	Key Planning Activities	Dates Scheduled to Complete Activity	Actual Date of Completion
Component 2: MEDIA AWARENESS AND ADVOCACY	<b>AFTER IMPLEMENTATION</b>		
	Select dates and places for news conferences to discuss the compliance check results.		
	Write a media advisory and news release publicizing the results.		
	Work with local TV stations, radio stations, & newspapers to run PSAs promoting the results.		
	Encourage the local paper to run an article about the results.		
	Mail a media advisory to key media contacts about the results.		
	Send letters of congratulations/thanks to businesses/sellers who did not illegally sell alcohol to minors.		
	Distribute list of businesses/sellers who did not sell through various media channels and other groups (e.g., churches, PTA/PTO).		
Issue press releases to the community about the results.			

**Progress, Problems, & Lessons Learned (i.e., barriers for not completing key activities on time)**

## Collaboration Partners

Anticipated Partner	Actual Partner	Anticipated Role	Actual Role

## Progress, Problems, & Lessons Learned Regarding Collaboration

### 3. Happy Hour Restrictions

**Research Summary on Happy Hour Restrictions:**

Research shows that as the price of alcohol decreases, alcohol consumption, intoxication, and drinking/driving increases (Chaloupka, et al., 2002), especially among minors (Grossman, et al., 1998; Chaloupka, et al., 2002). Promotions such as happy hours, drinking contests, and “all you can drink” specials encourage over-consumption by reducing prices. These promotions lead to tragic circumstances and restricting them can prevent these negative outcomes. For

example, in 2001, the Harvard School of Public Health’s College Alcohol Study demonstrated a significant correlation between lower drink prices and higher binge drinking rates among 119 colleges across the United States. This same study demonstrated a reduction in self-reported drinking-and-driving rates when laws limited underage access to alcohol (Wechsler, et al., 2003). This reduction was even greater when these laws were actively enforced (Wechsler, et al., 2003; NHTSA, 2002; NHTSA, 2004).

## PLANNING

Determine whether the state has any type of restrictions on happy hours or alcohol promotions.

The Pacific Institute for Research and Evaluation (PIRE) researched the relevant laws for all 50 states as of January 1, 2003, and that chart appears below. Currently 27 states restrict happy hours.

**Table 12. State Statutes or Regulations Prohibiting Happy Hours and Other Drink Specials Promotions<sup>1</sup>**

	Prohibit Happy Hours and/or Drink Specials	Prohibit Free Beverages	Prohibit Additional Servings	Prohibit Reduced Price—Specified Day or Time	Prohibit Unlimited Beverages—Fixed Price, Fixed Time	Prohibit Increased Volume	Prohibit Prizes
Alabama	✓			✓	✓		
Alaska	✓	✓	✓	✓	✓		✓
Arizona	✓		✓		✓		
Arkansas							
California							
Colorado							
Connecticut	✓		✓		✓		✓
Delaware	✓			✓	✓		✓
District of Columbia							
Florida							
Georgia							
Hawaii							
Idaho							
Illinois	✓		✓	✓	✓	✓	✓
Indiana	✓		✓	✓			
Iowa							
Kansas	✓	✓		✓	✓	✓	✓
Kentucky							
Louisiana <sup>2</sup>	✓				✓		
Maine	✓	✓	✓		✓		✓
Maryland							
Massachusetts	✓	✓	✓	✓	✓	✓	✓
Michigan	✓				✓		✓

**Table 12. State Statutes or Regulations Prohibiting Happy Hours and Other Drink Specials Promotions (Continued)**

	Prohibit Happy Hours and/or Drink Specials	Prohibit Free Beverages	Prohibit Additional Servings	Prohibit Reduced Price—Specified Day or Time	Prohibit Unlimited Beverages—Fixed Price, Fixed Time	Prohibit Increased Volume	Prohibit Prizes
Minnesota							
Mississippi							
Missouri							
Montana							
Nebraska	✓			✓			
Nevada							
New Hampshire							
New Jersey	✓				✓	✓	✓
New Mexico	✓	✓	✓	✓	✓		✓
New York	✓	✓			✓		
North Carolina	✓			✓	✓		
North Dakota							
Ohio	✓		✓	✓	✓	✓	✓
Oklahoma	✓		✓	✓	✓	✓	✓
Oregon <sup>3</sup>							
Pennsylvania	✓		✓	✓	✓	✓	
Rhode Island	✓	✓	✓	✓	✓	✓	✓
South Carolina	✓	✓		✓			
South Dakota							
Tennessee	✓	✓	✓	✓	✓	✓	✓
Texas	✓		✓	✓	✓	✓	
Utah							
Vermont	✓		✓			✓	
Virginia	✓	✓	✓	✓	✓	✓	✓
Washington	✓			✓			
West Virginia							
Wisconsin							
Wyoming							
<b>STATE TOTALS</b>	<b>27</b>	<b>10</b>	<b>16</b>	<b>18</b>	<b>23</b>	<b>12</b>	<b>15</b>

<sup>1</sup> Source: PIRE, 2003. This chart contains data on State statutes and regulations that specifically target happy hour types of promotions. Although some states may have provisions that prohibit awarding alcohol as a prize or providing free beverages in other parts of statutory or regulatory codes as a stand-alone statute or regulation, the information in this chart focuses on States with provisions expressly prohibiting excessive-drinking practices. The categories in the chart are defined as follows: *Free beverages*—happy hour provisions that specifically prohibit the distribution of free alcoholic beverages; *Additional servings*—prohibitions against an establishment providing additional servings of alcoholic beverages before previous servings have been consumed; *Reduced price—specified day or time*—prohibitions against the sale of alcoholic beverages at reduced prices during a specified day or time; *Unlimited beverages—fixed price, fixed time*—prohibitions against the sale of alcoholic beverages during a fixed period of time for a fixed price; *Increased volume*—prohibitions against increasing the volume of alcoholic beverages in a drink without increasing the price; *Prizes*—happy hour provisions that contain specific prohibitions against giving alcoholic beverages as prizes. Checkmarks indicate the presence of a policy. The legal research is current as of January 1, 2003.

<sup>2</sup> In Louisiana, selling or serving alcoholic beverages at a fixed price after 10 p.m. is prohibited.

<sup>3</sup> Although Oregon has no happy hour statute per se, it does have a provision that prohibits providing alcohol as prizes.

The type of happy hour and similar restrictions the state has will determine the course of action. If the state has few of these restrictions, mobilization will be needed to get more restrictions passed. This effort could target city, county, or state levels. If there is a comprehensive happy hour restriction already in place, then assess the degree to which it is being enforced.

**Provide a ready-made happy hour restrictions law for policy-makers.** To date, the most comprehensive set of happy hour restrictions at the state level is in Texas and can be used as a model. Texas statute §45.103, On-Premises Promotions, specifies 11 practices that are outlawed:

- “Two for one” or other discounted multiple alcoholic beverage sales;
- Increasing the volume of alcohol in a drink without increasing the price;
- Serving more than one free alcoholic beverage to any identifiable segment of the population;
- Fixed-price or “all you can drink” sales;
- Selling alcoholic beverages at a reduced price for a fixed “buy in” price;
- Selling alcoholic beverages at a price contingent on the amount consumed by an individual;
- Reduced drink prices after 11:00 p.m.;
- Selling more than two drinks to a single consumer at one time;
- Imposing an entry fee for the purpose of recovering financial losses incurred because of reduced drink prices;
- Drinking contests or awarding alcoholic beverages as prizes; and
- Any practice that is reasonably calculated to induce consumers to drink to excess, or that would impair the ability of the licensee to monitor or control the consumption of alcohol by their customers.

**Build community support for this strategy** from law enforcement, merchants, and other community members. Support from law enforcement is especially critical to this strategy. There are restrictions on at least one type of happy hour or similar type of promotions in most states; however, in a 2005 report by NHTSA called, Preventing Over-Consumption of Alcohol – Sales to the Intoxicated and “Happy Hour” (Drink Special) Laws, the authors conclude that enforcement of restrictions is low.

It will be important to direct public dissemination/awareness activities to the community and local leadership and introduce the link between happy hours and increased alcohol problems, including alcohol-related crashes and motor fatalities.

The following are different media awareness and advocacy strategies that can be utilized:

- a. Contact a local representative to convince him or her that enacting a comprehensive set of happy hour restrictions is a good idea.
- b. Hold individual meetings with those who are in key positions to affect change (e.g., local institutions responsible for establishing happy hour laws, local representatives, the local police department, elected

- officials, merchants, and neighborhood organizations).
- c. Target law enforcement with the message that better enforcement of happy hour restrictions is a good investment of resources because enforcement may lessen alcohol-related accidents and crime, thereby lessening the burden on law enforcement.
- d. Visit merchants informing them that NOT having happy hour and similar promotions can reduce their liability. Specifically, alcohol promotions can lead patrons to drink large amounts of alcohol and, the establishment could be liable for damage these highly intoxicated persons may cause.
- e. Hold a press conference describing the data collected about the number of alcohol-related problems that occur in the community. Discuss how implementing happy hour restrictions can reduce these alcohol-related problems.
- f. Work with local media outlets to air PSAs describing the problems caused by happy hour promotions and how happy hour restrictions can help reduce the problems.
- g. Write letters to the editor about the problems caused by happy hour promotions and how happy hour restrictions can help.
- h. Try to get media coverage of the problem. Stage a rally or an event in or near an area where there are, or have been, a large number of alcohol-related accidents related to happy hour promotions (e.g., bars with heavily attended happy hours).
- i. Issue press releases highlighting key activities and important events such as public hearings, on a potential happy hour law.
- j. Write an “Op-Ed” piece. See FACE ([www.faceproject.org](http://www.faceproject.org)) for a sample Op-Ed piece and instructions.
- k. Ensure that the coalition members are available to be interviewed and educate all members about the data on alcohol-related accidents and crime and how happy hour promotions contribute to these problems.

#### **Arguments for Happy Hour Restrictions that can be used in media awareness and advocacy:**

- In the United States, alcohol is an enormous contributor to motor and other accidents, violent crime, and poor health. Happy hour and other alcohol promotions facilitate this consumption of alcohol, often to excess, and therefore, should be banned.
- Bars and restaurants have happy hours to encourage greater consumption of alcohol. Since many establishments are not trained in responsible beverage service, patrons will often drink to excess, which can cause harm to themselves and others.
- The price of alcohol affects consumption. Making alcohol significantly cheaper can lead to greater consumption, often to excess. Preventing price reductions of alcohol can reduce excessive consumption of alcohol.

### Tools for Planning, Implementation and Evaluation:

In this example, there are several tools that can be customized and utilized in the community to help plan, implement, and evaluate happy hour restrictions.

- **Happy Hour Restrictions Planning Tool**
- **Happy Hour Restrictions Implementation Tool**
- **Happy Hour Restrictions Outcome Evaluation Tool (Appendix N)**
- **Happy Hour Restrictions Policy Journal**
- **Alcohol Establishment Assessment Tool**

### HAPPY HOUR RESTRICTIONS PLANNING TOOL

The Happy Hour Restrictions Planning Tool will help plan the primary component to this strategy: media awareness and advocacy to promote the passage and enforcement of happy hour restrictions.

**Identifying Anticipated Outputs.** Outputs are the direct products of the strategy's components and usually are measured in terms of work accomplished (e.g., number of meetings with policymakers, number of materials distributed to managers of restaurants/bars, etc). Outputs indicate whether the strategy is going in the direction that was intended. The Happy Hour Restrictions Planning Tool already has several anticipated outputs listed that will be important to track over time. It may be necessary to add others.

**Planning Each Component.** Document the major activities that need to be completed in order to be successful in implementing the enforcement of happy hour restrictions and media awareness and advocacy efforts. It is important to list each activity since this is where detailed action steps will occur. We have specified activities that are useful in enforcing happy hour restrictions and planning media awareness and advocacy in the Happy Hour Restrictions Planning Tool. For each activity, consider the important planning elements:

- **Scheduled dates.** When will the activities occur? By deciding upon the approximate dates for the completion of each activity, a timeline will emerge. Use these dates to assess if the component is being implemented in a timely fashion.
- **Who will be responsible?** Before implementation, decide who will be responsible for each activity. Will it be staff of the coalition, volunteers, members of community agencies?
- **Resources needed.** Consider what resources are needed for each activity. This may be financial resources as well as specific supplies or materials. Do any materials need to be purchased? Will they be donated?
- **Location.** Determine where to hold the various activities.

**Collaboration Partners.** In this section, identify the collaborative partners and their roles in the effort. Collaboration, including the development of additional community partnerships, is an integral part of any media advocacy effort to restrict happy hours.

**Implementation Barriers.** Local laws and ordinances are difficult to change. It is helpful to forecast what the challenges or barriers might be and to generate possible solutions for them. The Happy Hour Restrictions Planning Tool has prompts when considering the potential barriers and space to generate solutions to those barriers. There may be additional barriers encountered that the coalition should add to the Planning Tool. Although the solutions may not be currently known, the Planning Tool can be updated at any time.

## PROCESS EVALUATION

A process evaluation assesses what activities were implemented, the quality of the implementation, and the strengths and weaknesses of the implementation. This information can help to strengthen and improve the strategy over time.

### HAPPY HOUR RESTRICTIONS IMPLEMENTATION TOOL

The Happy Hour Restrictions Implementation Tool is designed to assess several aspects of implementation, including whether happy hour restrictions and media awareness and advocacy were implemented according to the plan. Information from the Happy Hour Restrictions Planning Tool is transferred to the subsequent sections of the Happy Hour Restrictions Implementation Tool. Although all parts of the Planning Tool should be referred to periodically, the Implementation Tool should be used all of the time. 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 Component Outputs

In this part of the Implementation Tool, dates of each proposed activity and their anticipated output (as stated in the Planning Tool) are recorded in the appropriate column. Later, after each activity is implemented, the actual outputs for each component are recorded. The anticipated output can be expressed as the %Output. This number represents a comparison of the anticipated outputs and actual outputs. Dividing the actual output by the anticipated output and multiplying that number by 100 produces the %Output.

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

For example, if 50 individual meetings with restaurant/bar managers were planned, use the Implementation Tool to record the number of meetings actually held. If only 30 meetings with managers were held, the %Output would be 60% (30/50 x 100 = 60%). The Implementation Tool is designed to be flexible. The level of information recorded will vary depending on the particular environmental strategy. In some cases, it may be most efficient to record data on a day-by-day basis. In other cases, it may be most efficient to present data by summing up information over weeks or months.

**Component.** In this column, list the name of the component as stated in the Planning Tool. The main component, media

awareness and advocacy to restrict happy hours, is already completed.

**Date.** In the “date” column, describe the time period that the information in that row represents. As stated above, data may be aggregated across different time spans. The type of date(s) recorded here may vary.

**Implemented as Planned?** The third column asks for a consideration of how well the components were implemented. Rate the implementation as “high”, “medium”, or “low”. If the implementation of the activity was very close to or exactly like it was planned, the rating would be “high”. If, for whatever reason, major changes occurred during the implementation (e.g., certain barriers or practical considerations made it necessary to change the design), a rating of “low” would be appropriate.

**Anticipated Output(s).** In the fourth column, place the anticipated output(s) that were listed in the Planning Tool.

**Actual Output(s).** The actual output(s) are listed in this column. If, for example, the coalition planned to meet with 50 managers but only met with 30, 50 meetings would be the “anticipated output” and 30 meetings would be the “actual output”.

**%Output Actual/Anticipated.** Divide the actual output by the anticipated output and multiply by 100. Place that number in this column.

**Progress, Problems, and Lessons Learned.** Successes, challenges, barriers, changes to the media awareness and advocacy strategy, and other lessons learned with regard to activities should be recorded in this column.

### Planning Activities

The Implementation Tool monitors whether the tasks in the plan were completed in a timely fashion.

**Components, Key Planning Activities, Dates Scheduled to Complete Activity.** The specific component, the corresponding planning activity, and dates by which the activity was to be completed should be taken from the Planning Tool and reprinted here.

**Actual Date of Completion.** The date that the planning activity is actually completed should be entered here.

**Progress, Problems, and Lessons Learned.** Successes, challenges, barriers, changes to the media awareness and advocacy strategy and other lessons learned with regard to the completion of planning activities should be recorded under “Progress, Problems, and Lessons Learned”.

### Collaboration Partners

In this part of the Implementation Tool, address the extent to which the media awareness and advocacy efforts to restrict happy hours achieved the expected collaboration. There are three sections of information in this part:

**Anticipated Partner/Anticipated Role.** The anticipated partners are identified in the Planning Tool. Collaboration partners and their roles are copied into the anticipated partners and anticipated roles sections, respectively.

**Actual Partner/Actual Role.** In these columns, differences between the actual and anticipated partners and roles identified in the plan are documented. Agencies or organizations that became partners after the strategy was initiated or after the plan was submitted may be identified here. When an anticipated partner does not collaborate as expected, this should be documented here and explained in greater detail under “Progress, Problems, and Lessons Learned”.

**Progress, Problems, and Lessons Learned.** Successes, challenges, barriers, changes to the activities and other lessons learned with regard to the collaboration partners should be recorded under “Progress, Problems, and Lessons Learned”.

### Progress, Problems, and Lessons Learned

For each part of the Implementation Tool, space is provided under “Progress, Problems, and Lessons Learned” to document the successes and challenges experienced during the implementation of the media awareness and advocacy efforts to restrict happy hours. Documenting and reviewing the progress, problems, and lessons learned on a regular basis helps to track ways that the media advocacy plan might be adjusted. Recording the successes and challenges is helpful for at least two reasons.

- Looking for barriers, obstacles, and challenges to the media advocacy plan allows for the opportunity to make improvements.
- Recording challenges and successes helps to avoid pitfalls in future implementation of the media advocacy efforts.

There are two issues to be considered in the “Progress, Problems, and Lessons Learned” section. The first has to do with specific aspects of what went well and not so well during implementation. The second involves thoughtful consideration of areas in need of attention. How often these questions are addressed may vary, but it is important to address these questions frequently and to keep a written record of any changes need to be made. For example, when doing media advocacy, evidence may indicate that the number of alcohol establishments being informed about the danger of happy hour promotions are much less than what was planned. As a result, it may be useful to reconsider some of the activities (e.g., which media outlets would best reach alcohol establishments) and then to make necessary changes to ensure that a larger number of merchants are encouraged to restrict the use of happy hour and other alcohol promotions.

### Happy Hour Restrictions Policy Journal

Patterned after the Policy Journal used in Communities Mobilizing for Change on Alcohol (CMCA; Wagenaar et al., 1999), the Happy Hour Restrictions Policy Journal is designed to help track the coalition’s impact on the local laws and ordinances that govern the use of happy hour and other alcohol pro-

motions. For example, it will be important to document if (and when) each of the following alcohol promotions were restricted:

- “Two for one” or other discounted multiple alcoholic beverage sales.
- Increasing the volume of alcohol in a drink without increasing the price.
- Serving more than one free alcoholic beverage to any identifiable segment of the population.
- Fixed-price or “all you can drink” sales.
- Selling alcoholic beverages at a reduced price for a fixed “buy in” price.
- Selling alcoholic beverages at a price contingent on the amount consumed by an individual.
- Reduced drink prices after 11:00 p.m.
- Selling more than two drinks to a single consumer at one time.
- Imposing an entry fee for the purpose of recovering financial losses incurred because of reduced drink prices.
- Drinking contests or awarding of alcoholic beverages as prizes.
- Any practice that is reasonably calculated to induce consumers to drink to excess or that would impair the ability of the licensee to monitor or control the consumption of alcohol by their customers.

Each time any type of happy hour restriction is enacted, write a brief summary about the policy change using the Happy Hour Restrictions Policy Journal. Record the following:

- Provision in place? Yes or no. The provision could be at the city, county or state level.
- Date the change goes into effect.
- How did the coalition’s efforts lead to this change? Summarize how the group’s actions led to the above changes.
- Comments. Any narrative to further explain the change in law.

Over time, the information collected in this Policy Journal will be useful when looking at longer-term outcomes, such as rates of motor-vehicle crashes involving alcohol.

### ALCOHOL ESTABLISHMENT ASSESSMENT TOOL

The coalition can use the Alcohol Establishment Assessment Tool to assess whether the happy hour restrictions that are in place are being practiced. Complete the Tool for each alcohol establishment the coalition is interested in monitoring. Members of the coalition can visit the establishment and observe behaviors or can collaborate with law enforcement to gather information. Use the results to inform the media awareness and advocacy strategy (i.e., to talk about the level of the problem) and to track the effectiveness of the restrictions in changing actual behavior.

## OUTCOME EVALUATION

### What should be measured?

Evaluation data showing the effectiveness of happy hour restrictions can come from many sources, including objective data (e.g., archival data) and subjective data (e.g., self-reported surveys). The following are examples of objective data that might be good outcomes to track as a result of enacting happy hour restrictions:

- Rates of DUI
- Rates of alcohol-related crime
- Motor-vehicle crashes
- Alcohol-related injuries
- Youth fatalities in traffic accidents

This type of data could be gathered from the state or local police department, the local health department, and the Mothers Against Drunk Driving organization. In addition, there is a web system called the Fatality Analysis Reporting System (FARS) organized by NHTSA ([www-fars.nhtsa.dot.gov](http://www-fars.nhtsa.dot.gov)) that allows users to access crash data online. Its database can be queried to produce reports at the state, county, or city level.

Subjective data that could be collected from a survey (e.g., merchants, youth, law enforcement) include:

- Attitudes toward happy hour restrictions
- Awareness of happy hour restrictions
- Awareness of impaired driving and zero tolerance laws

### HAPPY HOUR RESTRICTIONS OUTCOME EVALUATION TOOL

It is important for communities to have various types of information about the strategies documented. The Outcome Evaluation Tool is designed to organize the following information:

- **Summary of the needs and resources assessments:** Briefly summarize the results of the needs and resources assessments.
- **The target group (including numbers):** Briefly state who the target population is (e.g., merchants, policymakers, etc.) and how many were reached.
- **Desired Outcomes:** This information is available from the Accountability Question – Goals.
- **Measures used:** Document what measure(s) were chosen.
- **Design chosen:** Document which evaluation design was utilized.
- **Number of people who were measured in the evaluation:** How many completed the evaluation? (Skip this section if the only method was a review of archival data.)
- **Data analysis method:** How were the data analyzed?
- **Pre and Post scores and their differences (if applicable):** Calculate the post score minus pre score for each participant to obtain the “difference”

score between the two. Then take an average of all those “difference” scores.

• **Interpretation of the results:** What interpretations can be made when all of the data are considered together?

Using the Outcome Evaluation Tool in this way can also assist when writing reports for various constituencies, including funders.

## REFERENCES AND OTHER RESOURCES

Chaloupka, F., et al. (2002). The Effects of Price on Alcohol Consumption and Alcohol-Related Problems. *Alcohol Research & Health*, 26(1), 22-34.

*Communities Mobilizing for Change on Alcohol: SAMHSA Model Program*. Substance Abuse and Mental Health Services Administration, 2001. Available at <http://modelprograms.samhsa.gov>, or by calling SAMHSA at 1-877-773-8546.

Grossman, M., Chaloupka, F., Sirtalan, I. (1998, January). An empirical analysis of alcohol addiction: Results from the Monitoring the Future Panels. *Economic Inquiry*, 36(1), 39-48.

National Highway Traffic Safety Administration. (2004). *Traffic Safety Facts 2003: Alcohol*. DOT HS 809 761.

Pacific Institute for Research and Evaluation (2003). *State Statutes or Regulations Prohibiting Happy Hours and Other Drink Specials Promotions*.

Wechsler, H., Lee, J., Nelson, T., and Lee, H. (2003). Drinking and Driving Among College Students: The Influence of Alcohol Control Policies. *American Journal of Preventive Medicine*, 25(3), 212-218.

Environmental Strategy: \_\_\_\_\_ Date \_\_\_\_\_

Name of person completing form: \_\_\_\_\_



**PLANNING TOOL**

# HAPPY HOUR RESTRICTIONS

## Summary

Briefly provide the title and summary for this environmental strategy.

**Title:**

**Summary:**

## Components

The primary component for happy hours restrictions is the media awareness and advocacy to promote the passing and enforcement of the restrictions.

## Identifying Anticipated Outputs

What outputs will show that the activities were implemented as intended? Outputs are the direct products of activities and usually are measured in terms of work accomplished.

Component	Actions Taken	Anticipated Output(s): How many...
Component 1: MEDIA AWARENESS AND ADVOCACY	Press releases issued	__releases, __media outlets
	Letters to the editor written	__letters, __papers
	PSAs aired	
	Advertisements placed	
	Materials distributed	
	Press conferences held	
	Number of media personnel contacted	
	Number of meetings with key stakeholders	
	Number of meetings with law enforcement	
	Number of meetings with merchants	
	Number of letters written to merchants notifying them of the current restrictions	
	Other:	
Other:		

## Planning each component

Each component needs to be planned. Consider all of the activities that need to be completed in order to make each component successful. Each component includes several activities.

<b>Component 1: Media Awareness and Advocacy</b>				
<b>Specify Key Activities</b>	<b>Scheduled Dates</b>	<b>Who Is Responsible?</b>	<b>Resources Needed/ Materials to Be Provided</b>	<b>Location</b>
Gather and update media contact lists.				
Select dates and places for any news conferences planned: 1. Have one describing the data you collected about local alcohol-related problems, especially those related to happy hours. 2. Have a second on happy hour restrictions if and when they are changed or better enforced.				
Contact and meet with those responsible for establishing, maintaining, and enforcing restrictions on the public sale of alcohol including: a) The merchants of alcohol establishments b) The state office which regulates alcohol sales licenses c) The local police department d) The local planning department e) Elected officials f) Alcohol policy organizations g) Organizations influenced by alcohol availability, such as neighborhood organizations.				
Write a news release publicizing the problems that can be caused by happy hour promotions.				
Work with your local TV stations, radio stations, and newspapers to run PSAs describing the problems that can be caused by happy hour promotions and how certain restrictions can help.				
Encourage the local paper to run an article about the problems that can be caused by happy hour promotions and how certain restrictions can help.				
Mail a letter to the editors of local newspapers regarding the problems that can be caused by happy hour promotions and how certain restrictions can help.				
Invite the media to cover establishments with happy hours to highlight the problems this can cause.  Invite the media to cover the public hearings about passing new happy hours restrictions.				
Other:				
Other:				

## Collaboration Partners

Who are the collaboration partners for this strategy and what are their intended roles?

Collaboration Partner	Role of Partner

### Potential Barriers and Solutions

Getting a happy hour restriction policy passed and solutions can be difficult. It is helpful to forecast what these challenges or barriers might be and to generate possible solutions for them. In the table below, common barriers and potential solutions are listed. The group can add others in the spaces provided.

Potential Barriers	Potential Solutions
Merchants may fear that restrictions would reduce profits from alcohol sales.	Inform merchants that: <ul style="list-style-type: none"> <li>• Not having happy hour and similar promotions can reduce their liability. These alcohol promotions can lead patrons to drink large amounts of alcohol, and if there is a dram shop law in place, the establishment could be liable for any damage these highly intoxicated persons may cause.</li> <li>• Certain happy hour restrictions may be in violation of the law. Your message could focus on informing them of this and reminding them of the penalties for violating them.</li> </ul>
Law enforcement may view happy hour restrictions as low priority.	Inform law enforcement that better enforcement of happy hour restrictions is a good investment of resources. This is because enforcement may be able to lessen alcohol-related accidents and crime, thereby lessening the burden on law enforcement resources.
Other:	Other:



### Summary Checklist

What must be done to prepare for this strategy? Indicate “Y” (Yes), “N” (No), or “NA” (Not Applicable) regarding the tasks below. Have these tasks/activities been sufficiently addressed?

CHECKLIST ITEM		If no, plan for completion	By when?
Component 1: Media Awareness and Advocacy			
Y/N/NA	Resources obtained		
	Person responsible		
	Staff trained		
	Duties assigned		
	Location identified		
	Timeline written		
	Collaborative partners identified		
	Program materials developed		
	Barriers considered		
	Other:		
	Other:		

Environmental Strategy: \_\_\_\_\_ Date: \_\_\_\_\_

Name of person completing form: \_\_\_\_\_



**IMPLEMENTATION TOOL**

# HAPPY HOUR RESTRICTIONS

## Monitoring Component Outputs

### Component 1: Media Awareness and Advocacy

Output	Implemented. as Planned? (High, Medium, Low, No)	Anticipated Output(s)	Actual Output(s)	% Output Actual/ Anticipated
Press releases issued				
Letters to the editor written				
PSAs aired				
Advertisements placed				
Materials distributed				
Press conferences held				
Number of media personnel contacted				
Number of meetings with key stakeholders				
Number of meetings with law enforcement				
Number of meetings with merchants				
Other:				

### Progress, Problems, & Lessons Learned Regarding Outputs

\_\_\_\_\_

## Planning Activities

Components	Key Planning Activities	Dates Scheduled to Complete Activity	Actual Date of Completion
Component 1: MEDIA AWARENESS AND ADVOCACY	Gather and update media contact lists.		
	Select dates and places for news conferences to discuss the alcohol-related problems and the importance of happy hour restrictions.		
	Contact and meet with those responsible for establishing, maintaining, and enforcing restrictions on the public sale of alcohol including: a) Merchants of alcohol establishments b) The state office which regulates laws relating to alcohol sales c) The local police department d) The local planning department e) Elected officials f) Alcohol policy organizations g) Organizations influenced by alcohol availability, such as neighborhood organizations		
	Write a news release publicizing the problems that can be caused by happy hour promotions.		
	Work with local TV stations, radio stations, and newspapers to run PSAs describing the problems that can be caused by happy hour promotions and how certain restrictions can help.		
	Encourage the local paper to run an article about the problems that can be caused by happy hour promotions and how restrictions can help.		
	Invite the media to cover establishments with happy hour promotions to highlight the problems this can cause.		
	Invite the media to cover the public hearings about passing new happy hours restrictions.		
	Other:		

### Progress, Problems, & Lessons Learned Regarding Program Outputs

## Collaboration Partners

Anticipated Partner	Actual Partner	Anticipated Role	Actual Role

## Progress, Problems, & Lessons Learned Regarding Collaboration

Environmental Strategy: \_\_\_\_\_ Date \_\_\_\_\_

Name of person completing form: \_\_\_\_\_



**POLICY JOURNAL**

**HAPPY HOUR RESTRICTIONS**

Happy Hour Restriction	Restriction in Place? (Y/n)	As of What Date?	Geographical Area or Public Event(s) in Question	Did Your Efforts Lead to This Restriction Being Enacted? If So, How?
"Two for one" or other discounted multiple alcoholic beverage sales.				
Increasing the volume of alcohol in a drink without increasing the price.				
Serving more than one free alcoholic beverage to any identifiable segment of the population.				
Fixed-price or "all you can drink" sales.				
Selling alcoholic beverages at a reduced price for a fixed "buy in" price.				
Selling alcoholic beverages at a price contingent on the amount consumed by an individual.				
Reduced drink prices after 11:00 p.m.				
Selling more than two drinks to a single consumer at one time.				
Imposing an entry fee for the purpose of recovering financial losses incurred because of reduced drink prices.				
Drinking contests or awarding of alcoholic beverages as prizes.				
Any practice that is reasonably calculated to induce consumers to drink to excess, or that would impair the ability of the licensee to monitor or control the consumption of alcohol by their customers.				
Other restrictions				

Environmental Strategy: \_\_\_\_\_ Date \_\_\_\_\_

Name of person completing form: \_\_\_\_\_



**ASSESSMENT TOOL**

# ALCOHOL ESTABLISHMENT HAPPY HOUR RESTRICTIONS

Happy Hour Restriction	Restriction Being Practiced? (Y/N)	Comments
“Two for one” or other discounted multiple alcoholic beverage sales.		
Increasing the volume of alcohol in a drink without increasing the price.		
Serving more than one free alcoholic beverage to any identifiable segment of the population.		
Fixed-price or “all you can drink” sales.		
Selling alcoholic beverages at a reduced price for a fixed “buy in” price.		
Selling alcoholic beverages at a price contingent on the amount consumed by an individual.		
Reduced drink prices after 11:00 p.m.		
Imposing an entry fee for the purpose of recovering financial losses incurred because of reduced drink prices.		
Drinking contests or awarding of alcoholic beverages as prizes.		
Any practice that is reasonably calculated to induce consumers to drink to excess, or that would impair the ability of the licensee to monitor or control the consumption of alcohol by their customers.		
Other restrictions		

## 4. Controls on Alcohol Outlet Location and Density

### Research Summary on the effectiveness of controlling alcohol outlet density:

Areas with higher alcohol outlet density have higher levels of heavy drinking and alcohol-related problems, including violence, crime, alcohol-involved traffic crashes, and injuries. More than any other environmental factor, alcohol outlet density appears to be connected to location-specific violent crime (LaBouvie & Ontkush, 1998). Thus, reducing the density of alcohol outlets should result in less drinking-related problems. According to the Final Report of the NIAAA's Task Force on College Drinking's Panel on Prevention and Treatment (2002), restrictions on alcohol outlet density have been classified as effective environmental strategies due to

their effectiveness with the general population. Chaloupka and Wechsler (1996) found that college students tend to drink more on campuses in which a large number of alcohol outlets are located within one mile of campus.

Geographic buffer zones between an alcohol establishment and a youth-related area act to reduce the accessibility of alcohol to young people by making it less prevalent in their immediate environment (Weitzman, Folkman, Folkman, & Wechsler, 2003). According to Wittman (1998) and Mosher and Stewart (1999), buffer zones should cover a large geographic area (e.g., 1,000 feet or more) in order to be effective.

## PLANNING

**First, it is important to assess whether a high alcohol outlet density exists near the community's schools and other youth-related areas (e.g., after-school settings, recreational parks, etc.).** To do this, a community can collect information and possibly geographically map:

a) The location and density of establishments licensed to sell alcohol by type, on-premise (purchased "to go" and/or consumed in the establishment) and off-premise ("to go" only)

b) The rate of alcohol-related problems in the community, with an emphasis on drinking and driving, public intoxication, and alcohol-related violence and crimes.

To do this, follow these tips:

- Outlet density should be measured at the smallest local level (census tracts or "block groups"), if available.
- Survey and map alcohol outlets in the community. Consider working with a group of neighbors or recruit young people to survey and map the number and locations of alcohol outlets in the targeted community/ neighborhood. Also, contact the state's licensing board or local alcohol licensing authority for the location of the alcohol licenses in the community. Plot out these locations on a map of the community or use software such as ArcView 3.1 GIS software (Environmental Systems Research Institute, Inc., © 2000) or those located at <http://www.mapinfo.com> or <http://www.arcinfo.com>. Gruendwald, Remer, & Lipton (2002) describe how to map locations of alcohol outlets in detail (also at <http://pubs.niaaa.nih.gov/publications/arh26-1/42-48.htm>).

- Another easy way to map the location of Alcohol outlets is to use the new FREE service from the web search site: [www.google.com](http://www.google.com). After accessing the homepage, click on "local". Then enter "category: Liquor Retail" into the first box (called "what") and then the name of the community in the second box (called "where"). Google will then map—10 at a time—the liquor stores in that area. Set the search radius to 1 mile, 5 miles, 15 miles, or 45 miles. Keep hitting the "next" button until the address of the liquor stores changes (i.e., it gets so far away that it is not the targeted community any more). Do the same process for "category: Cocktail Bars & Lounges" for bars. For a large area, it may be somewhat tedious to create a single map with all the alcohol establishments, but it can be better than doing it by hand. After the alcohol outlets in the community are mapped, contact local law enforcement and ask for their help in comparing the map of alcohol outlets with their database showing locations of alcohol-related crimes. If possible, "over-lay" the maps and show the link between alcohol outlets and crime.

Based on the type of community problems, develop a local plan based to control the density of alcohol-related outlets. To do this, recruit institutions responsible for establishing, maintaining, and enforcing compliance with zoning regulations within the community, such as:

- a) Local representatives of the state office which regulates alcohol sales licenses.
- b) Representatives from the local police department.

- c) Representatives from the local planning department.
- d) Elected officials.
- e) Alcohol policy organizations.
- f) Organizations influenced by alcohol availability, such as neighborhood organizations and schools.

The community plan may include one or more of the following components:

- **Create geographic buffer zones** of approximately 1,000 feet between alcohol outlets and schools, play grounds, other youth facilities, and residential neighborhoods.
- **Restrict the number of alcohol outlets** near youth-related areas directly or indirectly by making alcohol licenses more difficult to obtain.
- **Require a certain distance** between each alcohol outlet to prevent pockets of dense alcohol outlets.
- **Promote the use of conditional use permits** that require alcohol establishments to meet minimally agreed-upon conditions in order to continue operating (e.g., requiring bars to document that their bartenders attend a responsible beverage training course).
- **Protest the issuance of alcohol licenses in youth-related areas or in general.** In South Carolina, any person residing in a county where an alcohol license is being sought may protest its issuance, slowing down the process and requiring a hearing to grant the license.

**Build community support for this strategy** from merchants, other community members, and law enforcement. Conduct awareness activities in the community to show the link between the density of alcohol outlets in the community and the rate/type of alcohol-related problems. There could also be a public awareness campaign offering ways that alcohol access could be limited by preventive zoning laws, licensing boards, and land use planning ordinances. The following are different media awareness and advocacy strategies that can be utilized:

- a. Contact a local representative to convince him or her that enacting an RBS law or ordinance is a good idea.
- b. Hold individual meetings with those who are in key positions to affect change (e.g., elected officials, alcohol policy organizations, and organizations influenced by alcohol availability, such as neighborhood organizations).
- c. Hold a press conference describing the data collected about the number of alcohol-related problems that occur in dense pockets of alcohol outlets. Discuss how controlling alcohol outlet density can contribute to decreases in alcohol-related problems.
- d. Work with local media outlets to air PSAs describing the problems associated with high alcohol outlet density.
- e. Try to get media coverage of the problem. Stage a rally or an event in an area of high alcohol density to highlight the issue.

- f. Issue press releases that describe the activities or important events, such as public hearings on the issuance of new liquor licenses.
- g. Write an “Op-Ed” piece. See FACE ([www.faceproject.org](http://www.faceproject.org)) for a sample Op-Ed piece and instructions.
- h. Ensure that the coalition members are available to be interviewed and educate all members about the data on alcohol outlet density so they are well-prepared and knowledgeable.

#### **Tools for Planning, Implementation and Evaluation:**

In this example, there are several tools that can be customized and utilized in the community to help plan, implement, and evaluate media awareness and advocacy to promote the reduction of alcohol outlet density

- **Controlling Alcohol Outlet Density Planning Tool**
- **Controlling Alcohol Outlet Density Implementation Tool**
- **Controlling Alcohol Outlet Density Outcome Evaluation Tool (Appendix N)**
- **Sample Letters**

#### **CONTROLLING ALCOHOL OUTLET DENSITY PLANNING TOOL**

This tool will help plan the primary component of this strategy: media awareness and advocacy to promote the reduction of alcohol outlet density.

**Identifying Anticipated Outputs.** Outputs are the direct products of the strategy’s components and usually are measured in terms of work accomplished (e.g., number of applications for alcohol outlet licenses, number of alcohol outlet licenses granted, etc.) Outputs indicate whether the strategy is going in the direction that was intended. The Controlling Alcohol Outlet Density Planning Tool already has several anticipated outputs listed that will be important to track over time. It may be necessary to add others.

**Planning Each Component.** Document the major activities that need to be completed in order to be successful in implementing the media awareness and advocacy efforts. It is important to list each activity since this is where detailed action steps will occur. We have specified activities that are useful in planning the media awareness and advocacy efforts in the Controlling Alcohol Outlet Density Planning Tool. For each activity, consider the important planning elements:

- **Scheduled dates.** When will the activities occur? By deciding upon the approximate dates for the completion of each activity, a timeline will emerge. Use these dates to assess if the proposed activities are being implemented in a timely fashion.
- **Who will be responsible?** Before implementation, decide who will be responsible for each activity. Will it be staff of the coalition, volunteers, or members of community agencies?
- **Resources needed.** Consider what resources are needed for each activity. This may be financial

resources as well as specific supplies. Do any materials need to be purchased? Will they be donated?

- *Location.* Determine where to hold the various activities.

**Collaboration Partners.** In this section, identify the collaborative partners and their roles in the effort. Collaboration, including the development of additional community partnerships, is an integral part of any effort to control alcohol outlet density.

**Implementation Barriers.** Local laws and ordinances are difficult to change. It is helpful to forecast what the challenges or barriers might be and to generate possible solutions for them. The Controlling Alcohol Outlet Density Planning Tool has prompts when considering the potential barriers and space to generate solutions to those barriers. There may be additional barriers encountered that the coalition should add to the Planning Tool. Although the solutions may not be currently known, the Planning Tool can be updated at any time.

## PROCESS EVALUATION

A process evaluation assesses what activities were implemented, the quality of the implementation, and the strengths and weaknesses of the implementation. This information can help to strengthen and improve the strategy over time.

### CONTROLLING ALCOHOL OUTLET DENSITY IMPLEMENTATION TOOL

The Controlling Alcohol Outlet Density Implementation Tool is designed to assess several aspects of implementation, including whether the media advocacy was implemented according to the plan. Information from the Controlling Alcohol Outlet Density Planning Tool is transferred to the subsequent sections of the Controlling Alcohol Outlet Density Implementation Tool and customized to best fit the needs of the media advocacy efforts. Although all parts of the Planning Tool should be referred to periodically, the Implementation Tool should be used all of the time. 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 Component Outputs

In this part of the Implementation Tool, dates of each proposed activity and their anticipated output (as stated in the Planning Tool) are recorded in the appropriate column. Later, after each activity is implemented, the actual outputs for each component are recorded in the appropriate column. The anticipated output can be expressed as the %Output. This number represents a comparison of the anticipated outputs and actual outputs. Dividing the actual output by the anticipated output and multiplying that number by 100 produces the %Output.

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

For example, if 50 individual meetings with key community members were planned, use the Implementation Tool to record the number of meetings planned. If only 30 meetings were held, the %Output would be 60% ( $30/50 \times 100 = 60\%$ ). The Implementation Tool is designed to be flexible. The level of information recorded will vary depending on the particular environmental strategy. In some cases, it may be most efficient to record data on a day-by-day basis. In other cases, it may be most efficient to present data by summing up information over weeks or months.

**Component.** In this column, list the name of the component as stated in the Planning Tool. The main component, media awareness and advocacy, is already completed.

**Date.** In the “date” column, describe the time period that the information in that row represents. As stated above, data may be aggregated across different time spans. The type of date(s) recorded here may vary.

**Implemented as Planned?** The third column asks for a consideration of how well the components were implemented. Rate the implementation as “high”, “medium”, or “low”. If the implementation of the activity was very close to or exactly like it was planned, the rating would be “high”. If, for whatever reason, major changes occurred during the implementation (e.g., certain barriers or practical considerations made it necessary to change the design), a rating of “low” would be appropriate.

**Anticipated Output(s).** In the fourth column, place the anticipated output(s) that were listed in the Planning Tool.

**Actual Output(s).** The actual output(s) are listed in this column. If, for example, 100 letters were to be sent but only 80 were mailed, 100 letters would be the “anticipated output” and 80 letters would be the “actual output”.

**%Output Actual/Anticipated.** Divide the actual output by the anticipated output and multiply by 100. Place that number in this column.

**Progress, Problems, and Lessons Learned.** Successes, challenges, barriers, changes to the media awareness and advocacy strategy, and other lessons learned with regard to activities should be recorded in this column.

#### Planning Activities

The Implementation Tool monitors whether the tasks in the plan were completed in a timely fashion.

**Components, Key Planning Activities, Dates Scheduled to Complete Activity.** The specific component, the corresponding planning activity, and dates by which the activity was to be completed should be taken from the Planning Tool and reprinted here.

**Actual Date of Completion.** The date that the planning activity is actually completed should be entered here.

**Progress, Problems, and Lessons Learned.** Successes, challenges, barriers, changes to the media awareness and advocacy strategy and other lessons learned with regard to the completion of planning activities should be recorded under “Progress, Problems, and Lessons Learned”.

### Collaboration Partners

In this part of the Implementation Tool, address the extent to which the media awareness and advocacy efforts achieved the expected collaboration. There are three sections of information in this part:

**Anticipated Partner/Anticipated Role.** The anticipated partners are identified in the Planning Tool. Collaboration partners and their roles are copied into the anticipated partners and anticipated roles sections, respectively.

**Actual Partner/Actual Role.** In these columns, differences between the actual and anticipated partners and roles identified in the plan are documented. Agencies or organizations that became partners after the strategy was initiated or after the plan was submitted may be identified here. When an anticipated partner does not collaborate as expected, this should be documented here and explained in greater detail under “Progress, Problems, and Lessons Learned”.

**Progress, Problems, and Lessons Learned.** Successes, challenges, barriers, changes to the activities and other lessons learned with regard to the collaboration partners should be recorded under “Progress, Problems, and Lessons Learned”.

### Progress, Problems, and Lessons Learned

For each part of the Implementation Tool, space is provided under “Progress, Problems, and Lessons Learned” to document the successes and challenges experienced during the implementation of the media awareness and advocacy plan. Documenting and reviewing the progress, problems, and lessons learned on a regular basis helps to track ways that the plan might be adjusted to meet the needs of participants. Recording the successes and challenges is helpful for at least two reasons.

- Looking for barriers, obstacles, and challenges to the media advocacy plan allows for the opportunity to make improvements.
- Recording challenges and successes helps to avoid pitfalls in future implementation of the media advocacy efforts.

There are two issues to be considered in the “Progress, Problems, and Lessons Learned” section. The first has to do with specific aspects of what went well and not so well during implementation. The second involves thoughtful consideration of areas in need of attention. How often these questions are addressed may vary, but it is important to ask these questions frequently and to keep a written record of any changes that

need to be made. For example, during implementation of the plan, evidence may indicate that the number of elected officials being educated about the issues of density is much less than what was planned. As a result, it may be useful to reconsider some of the activities (e.g., which media strategies would best reach elected officials) and then to make necessary changes to ensure that a larger number of elected officials will advocate for reducing alcohol outlet density.

## POLICY JOURNAL

Patterned after the Policy Journal used in Communities Mobilizing for Change on Alcohol (CMCA; Wagenaar et al., 1999), a Policy Journal is designed to help track the coalition’s impact on the local laws and ordinances that govern alcohol outlet density. For example, it will be important to document when each of the following policies were enacted:

- Creation of geographic buffer zones** of approximately 1,000 feet between alcohol outlets and schools, playgrounds, other youth facilities, and residential neighborhoods.
- Restriction on the number of alcohol outlets** near youth-related areas directly or indirectly by making licenses more difficult to obtain.
- Requirement of a certain distance** between each alcohol outlet to prevent pockets of dense alcohol outlets.
- Promotion of the use of conditional use permits** that require alcohol establishments to meet minimal agreed-upon conditions in order to continue operating (e.g., requiring bars to document that their bartenders have taken a responsible beverage training course).
- Protesting the issuance of alcohol licenses in youth-related areas or in general.**

Each time one of these policies is enacted, write a brief summary of what the exact policy change is using the Controlling Alcohol Outlet Density Policy Journal. Record the following:

- Date of journal entry**
- Geographical area in question.** Is it an entire city? A neighborhood?
- Current law/ordinance/policy that governs alcohol outlet density outlet.** Summarize the original law/ordinance/policy
- What change was made?** What is the new law/ordinance/policy? It could be as simple as promises from law enforcement to step up enforcement of existing laws.
- What body/council made the change?** In some areas it will be the zoning board, in others it may be the department of alcoholic beverage control (ABC).
- Date change goes into effect.**
- How did the coalition’s efforts lead to this change?** Summarize how the group’s actions caused the above changes.

Over time, the information collected in a Policy Journal format will be useful when looking at longer-term outcomes, such as rates of underage drinking and DUI arrests.

# OUTCOME EVALUATION

## What should be measured?

Evaluation data for reducing alcohol outlet density can come from many sources, including objective data (e.g., archival data) and subjective data (e.g., self-reported surveys). The following are examples of objective data that might be good outcomes to track when evaluating the impact of efforts to reduce alcohol outlet density.

- Decreased number of alcohol outlets in a given area.
- Increased distance between each alcohol outlet and between an alcohol outlet and a youth-related facility or area.
- Decreased number of new alcohol licenses issued.
- Reductions in number of alcohol-related crimes and other problems (e.g., alcohol-related crashes) in targeted area.
- Decreased rates of underage drinking.
- Decreased number of calls to law enforcement complaining of incidents related to specific alcohol outlets or near alcohol outlets.

This type of data could be gathered from the state or local police department, the local health department, and the Mothers Against Drunk Driving organization. In addition, there is a web system called the Fatality Analysis Reporting System (FARS) organized by NHTSA ([www-fars.nhtsa.dot.gov](http://www-fars.nhtsa.dot.gov)) that allows users to access motor-vehicle crash data online. Its database can be queried to produce reports at the state, county or city level. Additional subjective data such as people's perceptions of the alcohol outlet density laws and the effect on their attitudes and behaviors could also be measured.

## OUTCOME EVALUATION TOOL

It is important for communities to have various types of information about the strategies documented. The Outcome Evaluation Tool is designed to organize the following information:

- **Summary of the needs and resources assessments:** Briefly summarize the results of the needs and resources assessments.
- **The target group (including numbers):** Briefly state who the target population is (e.g., merchants, policymakers, etc.), and how many were reached.
- **Desired Outcomes:** This information is available from the Accountability Question - Goals.
- **Measures used:** Document what measure(s) were chosen.
- **Design chosen:** Document which evaluation design was utilized.
- **Number of people who were measured in the evaluation:** How many completed the evaluation? (Skip this section if the only method was a review of archival data.)
- **Data analysis method:** How were the data analyzed?
- **Pre and Post scores and their difference (if applicable):** Calculate the post score minus pre score

for each participant to obtain the "difference" score between the two. Then take an average of all those "difference" scores.

- **Interpretation of the results:** What interpretations can be made when all of the data are considered together?

Using the Outcome Evaluation Tool in this way can also assist when writing reports for various constituencies, including funders.

## REFERENCES AND OTHER RESOURCES

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- Mosher, J. F., & Stewart, K. (1999). *Regulatory strategies for preventing youth access to alcohol: Best practices*. Prepared by the Office of Juvenile Justice and Delinquency Prevention and the Underage Drinking Enforcement Training Center. Calverton, MD: Pacific Institute for Research and Evaluation.
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- Weitzman E.R., Folkman, A., Folkman, K.L., & Wechsler, H. (2003). The relationship of alcohol outlet density to heavy and frequent drinking and drinking-related problems among college students at eight universities. *Health and Place*, 9, 1-6.
- Wittman, F. D. (1998). Alcohol policy element #5: Alcohol use in public places and at special events. In *Recommendations for community alcohol/drug policy*. Berkeley, CA: CLEW Associates.

Environmental Strategy: \_\_\_\_\_ Date \_\_\_\_\_

Name of person completing form: \_\_\_\_\_



**PLANNING TOOL**

# REDUCING ALCOHOL OUTLET DENSITY

**SUMMARY:** Briefly provide the title and summary for this environmental strategy.

**Title:**

**Summary:**

### Components

The primary component for reducing the alcohol outlet density are the efforts used in the media to promote changes in local ordinances that govern the density.

### Identifying Anticipated Outputs

What outputs will show that the activities were implemented as planned? Outputs are the direct products of activities and usually are measured in terms of work accomplished.

Environmental Strategy Component	Actions Taken	Anticipated Output(s): How many...
Component 1: MEDIA AWARENESS AND ADVOCACY	One-on-one meetings	___meetings
	Attendance at public hearings about issuance of new alcohol licenses.	___hearings attended
	Press releases issued	___releases, ___media outlets
	Letters to the editor written	___letters, ___newspapers
	PSAs aired	
	Advertisements placed	
	Materials distributed	
	Press conferences held	
	Number of media personnel contacted	

## Planning each component

Each component needs to be planned. Consider all of the activities that need to be completed in order to make each component successful. Each component includes several key activities.

### Component 1: Media Awareness and Advocacy

Specify Key Activities	Scheduled Dates	Who Is Responsible?	Resources Needed/ Materials to Be Provided	Location
Gather and update media contact lists.				
Select dates and places for any news conferences you planned: 1. Have one describing the data collected about alcohol-related problems that occur in areas of high alcohol density. 2. Have a second news conference if changes to the alcohol outlet density laws are changed or better enforced.				
Contact and meet with those responsible for establishing, maintaining, and enforcing compliance with zoning regulations within the community, including: a) The state office which regulates alcohol sales licenses and zoning, b) The local police department c) The local planning department d) Elected officials e) Alcohol policy organizations f) Organizations influenced by alcohol availability, such as neighborhood organizations.				
Work with local TV stations, radio stations, & newspapers to run PSAs describing the problems associated with high alcohol outlet density and what can be done to reduce these problems.				
Mail a letter to the editors of local newspapers regarding the problem of high alcohol outlet density and the proposed solutions.				
Invite the media to cover the public hearings about issuing new alcohol licenses.				
Other:				
Other:				

## Collaboration Partners

Who are the collaboration partners for the alcohol outlet density strategy and what are their intended roles?

Collaboration Partner	Role of Partner

## Potential Barriers and Solutions

Addressing alcohol outlet density can be difficult. It is helpful to forecast what these challenges or barriers might be and to generate possible solutions for them. In the table below, common barriers are listed. The group can add others to the spaces provided and generate proposed solutions to each barrier.

Potential Barriers	Potential Solutions
Political climate	
Planning and zoning laws are limited in that they can mostly operate prospectively	
Results are not immediate and alcohol outlet density may not begin to decline for 2-3 years.	
Lack of community and merchant support	
Other:	
Other:	



## Summary Checklist

What must be done to prepare for this strategy? Indicate “Y” (Yes), “N” (No), or “NA” (Not applicable) regarding the tasks below. Have these tasks/activities been sufficiently addressed?

CHECKLIST ITEM		If no, plan for completion	By when?
Component 1: Media Awareness and Advocacy			
Y/N/NA	Resources obtained		
	Person responsible		
	Staff trained		
	Duties assigned		
	Location identified		
	Timeline written		
	Collaborative partners identified		
	Materials developed		
	Barriers considered		
	Other:		
	Other:		

Environmental Strategy: \_\_\_\_\_ Date \_\_\_\_\_

Name of person completing form: \_\_\_\_\_



**IMPLEMENTATION TOOL**

**REDUCING ALCOHOL OUTLET DENSITY**

**Monitoring Component Outputs**

**Component 1: Media Awareness and Advocacy**

Output	Implemented as Planned? (High, Medium, Low, No)	Anticipated Output(s)	Actual Output(s)	% Output Actual/ Anticipated
One-on-one meetings				
Public hearings about issuance of new alcohol licenses attended				
Press releases issued				
Letters to the editor written				
PSAs aired				
Advertisements placed				
Materials distributed				
Press conferences held				
Number of media personnel contacted				
Other:				

**Progress, Problems, & Lessons Learned Regarding Outputs**

## Planning Activities

Components	Key Planning Activities	Dates Scheduled to Complete Activity	Actual Date of Completion
<p>Component 1: MEDIA ADVOCACY AND AWARENESS</p>	Gather and update your media contact lists.		
	<p>Select dates and places for any news conferences planned:</p> <ol style="list-style-type: none"> <li>1. Have one describing the data collected about alcohol-related problems that occur in areas of high alcohol outlet density.</li> <li>2. Have a second news conference if changes to the alcohol outlet density laws are better enforced.</li> </ol>		
	<p>Contact and meet with those responsible for establishing, maintaining, and enforcing compliance with zoning regulations within the community including:</p> <ol style="list-style-type: none"> <li>a) The state office which regulates alcohol sales licenses</li> <li>b) The local police department</li> <li>c) The local planning department</li> <li>d) Elected officials</li> <li>e) Alcohol policy organizations</li> <li>f) Organizations influenced by alcohol availability, such as neighborhood organizations.</li> </ol>		
	Work with local TV stations, radio stations, & newspapers to run PSAs describing the problems associated with high alcohol outlet density and what can be done to reduce these problems.		
	Mail a letter to the editors of local newspapers regarding the problem of high alcohol outlet density and the proposed solutions.		
	Invite the media to cover the public hearings you will attend about issuing new alcohol licenses.		
	Other:		
	Other:		

### Progress, Problems, & Lessons Learned (i.e., barriers for not completing key activities on time)

## Collaboration Partners

Anticipated Partner	Actual Partner	Anticipated Role	Actual Role

## Progress, Problems, & Lessons Learned Regarding Collaboration

# **LIMITING THE LOCATION AND DENSITY OF ALCOHOL OUTLETS**

**NOTE:** Follow the instructions in the opinion section of your local newspaper for submitting a letter to the editor. Most newspapers print these instructions in the opinion-editorial section, or you can call the newspaper for instructions.

---

**ISSUE: Limiting the Location and Density of Alcohol Outlets in Our Community**

I'm writing to express my concern about the number of locations where alcohol can be purchased in our community. For the purposes of this letter, I'll refer to them as "alcohol outlets."

Research shows that communities with more alcohol outlets tend to experience more alcohol-related problems including: alcohol-related civil offenses, motor vehicle crashes, assaults, vandalism, domestic violence, alcohol addiction, and underage drinking. One study conducted in New Orleans found that the density of alcohol outlets in a neighborhood accounted for an 11 percent difference in a person's drinking habits. In short, the farther people lived from an alcohol outlet, the less they drank.

[IF A COMMUNITY GROUP HAS RECENTLY CONDUCTED A SURVEY OF ITS OWN NEIGHBORHOODS, SUMMARIZE THE SURVEY AND FINDINGS OF ANY LOCAL EFFORTS.]

This is particularly disturbing when we consider the alcohol outlets in our community and their proximity to our children. In order to reduce underage drinking and all of its related problems, we need to create some safe distances between our kids and alcohol outlets. Let's work together to create these distances, especially around our schools, public parks, churches, and community facilities. If you'd like to join the effort, contact [YOU MAY WANT TO MENTION YOUR GROUP'S NAME HERE].

Sincerely,

Include your name and your group's name here

*Sources: "Regulatory Strategies for Preventing Youth Access to Alcohol: Best Practices," Pacific Institute for Research and Evaluation, 2000. "Alcohol Outlet and Alcohol Availability," Alcohol-Related Injury and Violence Web Site, Trauma Foundation.*

# LOCATION AND DENSITY OF ALCOHOL OUTLETS

**NOTE:** Send this release to the local news editor at your newspaper. Call the newspaper for the editor's name and for instructions on submitting the release.

---

## FOR IMMEDIATE RELEASE

For more information, contact: [INSERT YOUR NAME AND PHONE NUMBER]

Community Survey Shows Link Between Alcohol Outlets and Crime

A recent survey of our community confirms what many of us already know: communities with more places to purchase alcohol tend to experience more alcohol-related problems. A community group [ADD GROUP NAME, IF APPLICABLE] has just completed an informal survey and mapping of both alcohol outlets and alcohol-related crimes in our area. Here are the results.

[PROVIDE A BRIEF SUMMARY OF YOUR SURVEY FINDINGS, INCLUDING WHEN, WHERE AND HOW YOU CONDUCTED YOUR SURVEY]

[ALSO PROVIDE THE DETAILS OF YOUR WORK WITH LOCAL LAW ENFORCEMENT HERE]

[CONCLUDE THE RELEASE WITH A STATEMENT FROM YOUR GROUP'S LEADER, AND/OR FROM THE LOCAL POLICE CHIEF]

We've worked together to hit the streets and actually map out where alcohol is being sold and served in our community. What we've learned is that alcohol-related problems occur more often in these areas. Now that we have this information, let's work together to make our streets safer for ourselves and our families.

*Source: FACE Truth and Clarity on Alcohol.*

# **LIMITING THE LOCATION AND DENSITY OF ALCOHOL OUTLETS**

**NOTE:** Contact a community leader and ask him or her to customize the following op-ed piece for submission to your local newspaper.

---

## **ISSUE: Limiting the Location and Density of Alcohol Outlets in Our Community**

I'm writing to express my concern about the number of locations where alcohol can be purchased in our community. For the purposes of this letter, I'll refer to them as "alcohol outlets."

Research shows that communities with more alcohol outlets tend to experience more alcohol-related problems including: alcohol-related civil offenses, motor vehicle crashes, assaults, vandalism, domestic violence, alcohol addiction, and underage drinking. One study conducted in New Orleans found that the density of alcohol outlets in a neighborhood accounted for an 11 percent difference in a person's drinking habits. In short, the farther people lived from an alcohol outlet, the less they drank.

[IF A COMMUNITY GROUP HAS RECENTLY CONDUCTED A SURVEY OF ITS OWN NEIGHBORHOODS, SUMMARIZE THE SURVEY AND FINDINGS OF ANY LOCAL EFFORTS.]

This is particularly disturbing when we consider the alcohol outlets in our community and their proximity to our children. In order to reduce underage drinking and all of its related problems, we need to create some safe distances between our kids and alcohol outlets. Let's work together to create these distances, especially around our schools, public parks, churches, and community facilities. If you'd like to join the effort, contact [YOU MAY WANT TO MENTION YOUR GROUP'S NAME HERE].

Sincerely,

Include your name and your group's name here

*Sources: "Regulatory Strategies for Preventing Youth Access to Alcohol: Best Practices," Pacific Institute for Research and Evaluation, 2000.*



# 5. Sobriety/Traffic Safety Checkpoints

### Research Summary on Sobriety/Traffic Safety Checkpoints:

Multiple studies indicate that sobriety/traffic safety checkpoints are very effective in reducing alcohol-related traffic crashes, injuries, and deaths. According to a review by Peek-Asa (1999), traffic safety checkpoints were found to effectively reduce alcohol-related fatalities anywhere from 8% to 71%. Shults et al. (2001) found a median decline in fatal crashes approaching 22% when reviewing studies on sobriety/traffic safety checkpoints. In another review by Fell et al. (2001), checkpoints conducted on a weekly basis decreased alcohol-related fatal crashes by 20%. Despite their effectiveness, Fell et al. (2001) concluded that traffic safety checkpoints were regularly conducted (on a weekly basis) in only 11 states in the United States, with a total of 37 states reporting that they conducted traffic safety checkpoints from one to two times a year. Approximately 13 states in the United States do not conduct these checkpoints due to the prohibi-

tion of them or other policy issues.

While the effects of sobriety/traffic safety checkpoints specifically for youth are largely unknown, the effects appear to be powerful at a community-wide level. Traffic safety checkpoints, combined with a vigorous awareness campaign, tend to further decrease alcohol-related accidents among youth (Presseur & Stewart, 2000). For example, the enforcement of zero tolerance laws is somewhat effective alone, reducing alcohol-related traffic accidents by 30% among young drivers in one study (Blomberg, 1993; Presseur & Stewart, 2000). However, when the enforcement of zero tolerance laws was combined with a vigorous public awareness campaign, the number of alcohol-related accidents among underage drivers was reduced by 49%, almost an additional 20% more than zero tolerance laws alone (Blomberg, 1993; Presseur & Stewart, 2000).

## PLANNING

### Determine whether sobriety checkpoints are legal in the state.

While the Supreme Court has upheld their use, 11 states currently prohibit sobriety checkpoints (Alaska, Idaho, Iowa, Michigan, Minnesota, Oregon, Rhode Island, Texas, Washington, Wisconsin, and Wyoming). In some states where sobriety checkpoints are not legal or likely to occur, law enforcement are able to implement traffic safety checkpoints where testing for sobriety is only one aspect of a larger traffic safety “check” (e.g., lights working, children in car seats, etc.) Even if legal in the state, many states have laws that require certain standards be met when checkpoints are conducted.

Use the media to gain community support and to promote a campaign to prevent drinking and driving. Vigorous and widespread campaigns about impaired driving laws improve their effectiveness. The following are different media awareness and advocacy strategies that can be utilized:

- a. Contact a local representative to convince him or her that holding sobriety/traffic safety checkpoints is a good idea.
- b. Hold individual meetings with those in key positions to affect change (e.g., elected officials, law enforcement).
- c. Hold a press conference describing the purpose of the checkpoints. Discuss how holding sobriety checkpoints will contribute to decreases in alcohol-related problems.
- d. Work with local media outlets to air PSAs describing the details of the checkpoints.
- e. Write letters to the editor about the problems associated with drinking and driving and how sobriety/traffic safety checkpoints can help reduce these problems.
- f. Issue press releases highlighting key activities and

important events, such as public hearings on enacting a sobriety checkpoints law.

g. Write an “Op-Ed” piece. See FACE ([www.faceproject.org](http://www.faceproject.org)) for a sample Op-Ed piece and instructions.

h. Ensure that the coalition members are available to be interviewed and educate all members about the data on drinking and driving and how having sobriety/traffic safety checkpoints can reduce this problem.

**Build community support for this strategy** from law enforcement, the judicial system, and the general community. It is extremely important to gain the support of law enforcement agencies since they will be conducting the checkpoints. Law enforcement may have done checkpoints in the past, especially connected to the national campaigns ([www.stopimpaireddriving.org](http://www.stopimpaireddriving.org)). Highlighting the effectiveness of sobriety/traffic safety checkpoints and how they can save lives will be an important message to build support for this strategy. Consider what groups may be able to help build community support through testimony and public awareness efforts such as local physicians, the American Red Cross, and families who have been impacted by drinking and driving.

One way to build support for conducting checkpoints is to conduct a town hall meeting explaining the importance of the sobriety/traffic safety checkpoints and the details for how they will be implemented. A town hall meeting as a mechanism is very similar to the policy panel described in Chapter 1. It involves local prominent persons speaking in front of an audience about the issue. Use the text on Policy Panels to help plan a town hall meeting.

Additional suggestions are described below:

- 1) Gain support from local prosecutors and judges. Prosecutors can provide advice about the laws governing checkpoints in your state and the types of evidence necessary to prosecute checkpoint arrests. Judges can also provide information about the steps necessary to effectively adjudicate cases.
- 2) Collaborate with other citizen activist groups, like Mothers Against Drunk Driving (MADD) and Students Against Drunk Driving (SADD). These groups have been active for many years and have information that will be useful.
- 3) Collect/gather data about community-specific impaired driving rates, alcohol-related crashes, enforcement of impaired driving laws, and the types/numbers of consequences incurred when impaired driving laws are broken. This information can be baseline - or “the way things are now”. After the checkpoints are done, collect this information again to see how things have changed (i.e., outcome data).
- 4) Train and brief all officers and supervisors involved in sobriety/traffic safety checkpoints, including specialized training on equipment such as passive alcohol sensors and detecting low levels of alcohol in youth. If needed, purchase specialized equipment such as handheld breath test devices, passive alcohol sensors, cameras, and horizontal gaze nystagmus tests.
- 5) When selecting locations and times for checkpoints, consider the time and place where more youthful drivers are likely to be influenced by the checkpoints. For instance, most underage drivers who have been drinking drive on weekend nights between 10 p.m. and 1 a.m., whereas adults who have been drinking tend to drive after 2 a.m. Also, many underage drinkers are not coming from bars and commercial establishments but are coming from houses and other locations like motels or open fields.
- 6) Consider choosing a theme for all traffic safety checkpoint activities, such as “Sober or Slammer” (South Carolina), “Operation Zero Tolerance” (Georgia) or “Smart, Safe, and Sober” (Virginia).

#### **Tools for Planning, Implementation and Evaluation:**

In this example, there are several tools that can be customized and utilized in the community to help plan, implement, and evaluate sobriety/traffic safety checkpoints.

- **Sobriety Checkpoints Planning Tool**
- **Sobriety Checkpoints Implementation Tool**
- **Sobriety Checkpoints Outcome Evaluation Tool (Appendix N)**
- **Sobriety Checkpoint Questionnaire to the Public**

#### **SOBRIETY CHECKPOINTS PLANNING TOOL**

The Sobriety Checkpoints Planning Tool will help plan the two primary components to this strategy: the sobriety/traffic safety checkpoints and the efforts to use the media to promote the checkpoints.

**Identifying Anticipated Outputs.** Outputs are the direct products of the strategy’s components and usually are measured in terms of work accomplished (e.g., number of checkpoints planned, number of cars stopped, etc). Outputs indicate whether the strategy is going in the direction that was intended. The Sobriety Checkpoints Planning Tool already has several anticipated outputs listed that will be important to track over time. It may be necessary to add others.

**Planning Each Component.** Document the major activities that need to be completed in order to be successful in implementing both components. It is important to list each of these since this is where detailed action steps will occur. We have specified activities that are useful in conducting the checkpoints and the media awareness and advocacy efforts in the Sobriety Checkpoints Planning Tool. For each activity, consider the important planning elements:

- **Scheduled dates.** When will the activities occur? By deciding upon the approximate dates for the completion of each activity, a timeline will emerge. Use these dates to assess if the proposed activities are being implemented in a timely fashion.
- **Who will be responsible?** Before implementation, decide who will be responsible for each activity. Will it be staff of the coalition, volunteers, and members of community agencies?
- **Resources needed.** Consider what resources are needed for each activity. This may be financial resources as well as specific supplies. Do any materials need to be purchased? Will they be donated?
- **Location.** Determine where to hold the various activities.

**Collaboration Partners.** In this section, identify the collaborative partners and their roles in the effort. Collaboration, including the development of additional community partnerships, is an integral part of effective sobriety/traffic safety checkpoints.

**Implementation Barriers.** Sobriety/traffic safety checkpoints can be difficult to implement. It is helpful to forecast what the challenges or barriers might be and to generate possible solutions for them. The Sobriety Checkpoints Planning Tool has prompts when considering the potential barriers and space to generate solutions to those barriers. There may be additional barriers encountered that the coalition should add to the Planning Tool. Although the solutions may not be currently known, the Planning Tool can be updated at any time.

## **PROCESS EVALUATION**

A process evaluation assesses what activities were implemented, the quality of the implementation, and the strengths and weaknesses of the implementation. This information can help to strengthen and improve the strategy over time.

## **SOBRIETY CHECKPOINTS IMPLEMENTATION TOOL**

The Sobriety Checkpoints Implementation Tool is designed to assess several aspects of implementation, including whether the sobriety/traffic safety checkpoints and media awareness and advocacy strategies were implemented according to the plan. Information from the Sobriety Checkpoints Planning Tool is transferred to the subsequent sections of the Sobriety Checkpoints Implementation Tool. Although all parts of the Planning Tool should be referred to periodically, the Implementation Tool should be used all of the time. 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 Component Outputs**

In this part of the Implementation Tool, dates of each proposed activity and their anticipated output (as stated in the Planning Tool) are recorded in the appropriate column. Later, after each activity is implemented, the actual outputs for each component are recorded. The anticipated output can be expressed as the %Output. This number represents a comparison of the anticipated outputs and actual outputs. Dividing the actual output by the anticipated output and multiplying that number by 100 produces the %Output.

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

For example, if 500 sobriety/traffic safety checkpoints were planned, use the Implementation Tool to record the dates and numbers of cars you planned to check. If only 300 cars were checked, the %Output would be 60% ( $300/500 \times 100 = 60\%$ ). The Implementation Tool is designed to be flexible. The level of information recorded will vary depending on the particular environmental strategy. In some cases, it may be most efficient to record data on a day-by-day basis. In other cases, it may be most efficient to present data by summing up information over weeks or months.

**Component.** In this column, list the name of the component as stated in the Planning Tool. The two main components, the sobriety/traffic safety checkpoints and media awareness and advocacy, are already completed.

**Date.** In the “date” column, describe the time period that the information in that row represents. As stated above, data may be aggregated across different time spans. The type of date(s) recorded here may vary.

**Implemented as Planned?** The third column asks for a consideration of how well the components were implemented. Rate the implementation as “high”, “medium”, or “low”. If the implementation of the activity was very close to or exactly like it was planned, the rating would be “high”. If, for whatever reason, major changes occurred during the implementation (e.g., certain barriers or practical considerations made it necessary to change the design), a rating of “low” would be appropriate.

**Anticipated Output(s).** In the fourth column, place the anticipated output(s) that were listed in the Planning Tool.

**Actual Output(s).** The actual output(s) are listed in this column. If, for example, 10 officers were expected to participate in a weekend checkpoint program but only 8 participated, 10 officers would be the “anticipated output” and 8 officers would be the “actual output”.

**%Output Actual/Anticipated.** Divide the actual output by the anticipated output and multiply by 100. Place that number in this column.

**Progress, Problems, and Lessons Learned.** Successes, challenges, barriers, changes to the plan for the checkpoints and media advocacy and other lessons learned with regard to activities should be recorded in this column.

### **Planning Activities**

The Implementation Tool monitors whether the tasks in the plan were completed in a timely fashion.

**Components, Key Planning Activities, Dates Scheduled to Complete Activity.** The specific component, the corresponding planning activity, and dates by which the activity was to be completed should be taken from the Planning Tool and reprinted here.

**Actual Date of Completion.** The date that the planning activity is actually completed should be entered here.

**Progress, Problems, and Lessons Learned.** Successes, challenges, barriers, changes to the plan and other lessons learned with regard to the completion of planning activities should be recorded under “Progress, Problems, and Lessons Learned”.

### **Collaboration Partners**

In this part of the Implementation Tool, address the extent to which the checkpoints and media awareness and advocacy achieved the expected collaboration. There are three sections of information in this part:

**Anticipated Partner/Anticipated Role.** The anticipated partners are identified in the Planning Tool. Collaboration partners and their roles are copied into the anticipated partners and anticipated roles sections, respectively.

**Actual Partner/Actual Role.** In these columns, differences between the actual and anticipated partners and roles identified in the plan are documented. Agencies or organizations that became partners after the strategy was initiated or after the plan was submitted may be identified here. When an anticipated partner does not collaborate as expected, this should be documented here and explained in greater detail under “Progress, Problems, and Lessons Learned”.

**Progress, Problems, and Lessons Learned.** Successes, challenges, barriers, changes to the activities and other lessons

learned with regard to the collaboration partners should be recorded under “Progress, Problems, and Lessons Learned”.

### **Progress, Problems, and Lessons Learned**

For each part of the Implementation Tool, space is provided under “Progress, Problems, and Lessons Learned” to document the successes and challenges experienced during the implementation of the checkpoint program. Documenting and reviewing the progress, problems, and lessons learned on a regular basis helps to track ways that the checkpoint program might be adjusted to meet the needs of participants. Recording the successes and challenges is helpful for at least two reasons.

- Looking for barriers, obstacles, and challenges to the checkpoints and media advocacy strategies allows for the opportunity to make improvements.
- Recording challenges and successes helps to avoid pitfalls in future implementation of the checkpoints and media advocacy efforts.

There are two issues to be considered in the “Progress, Problems, and Lessons Learned” section. The first has to do with specific aspects of what went well and not so well during implementation. The second involves thoughtful consideration of areas in need of attention. How often these questions are addressed may vary, but it is important to ask these questions frequently and to keep a written record of any changes that need to be made. For example, when running a checkpoint program, evidence may indicate that the program is not engaging as many youth drivers as planned. To ensure that a larger number of youth drivers are being checked, it may be useful to reconsider some of the activities (e.g. when and where the checks occur) and then to make necessary changes to ensure that a larger number of youth participate in the checkpoints.

## **OUTCOME EVALUATION**

### **What should be measured?**

Evaluation data for sobriety/traffic safety checkpoints can come from many sources, including objective data (e.g., archival data) and subjective data (e.g., self-reported surveys). The following are examples of objective data that might be good outcomes to track as a result of conducting sobriety/traffic safety checkpoints.

- Rates of alcohol-related nighttime crashes, injuries, and fatalities. Note: One common indicator used is single vehicle crashes between 8 p.m. and 4 a.m., which is a measure closely related to alcohol-related crashes involving drivers with illegal levels of blood alcohol concentration
- Rates of motorists detained for field sobriety testing
- Rates of traffic stops and traffic safety checkpoints
- Rates of DUI arrests and convictions
- Number and types of arrests
- Changes in number of impaired driving arrests

This type of data could be gathered from the state or local police department, the local health department, and the

Mothers Against Drunk Driving organization. In addition, there is a web system called the Fatality Analysis Reporting System (FARS) organized by NHTSA ([www-fars.nhtsa.dot.gov](http://www-fars.nhtsa.dot.gov)) that allows users to access motor-vehicle crash data online. Its database can be queried to produce reports at the state, county, or city level.

Subjective data that could be collected from a survey or through observations include:

- Average time delay for motorists at checkpoints.
- Degree of support from motorists for the checkpoints.
- Perceived likelihood of being caught driving with an illegal level of blood alcohol concentration.
- Awareness of impaired driving laws.

### **SOBRIETY CHECKPOINTS OUTCOME EVALUATION TOOL**

It is important for communities to have various types of information about the strategies documented. The Outcome Evaluation Tool is designed to organize the following information:

- Summary of the needs and resources assessments: Briefly summarize the results of the needs and resources assessments.
- The target group (including numbers): Briefly state who the target population is (e.g., youth, all citizens, etc.), and how many were reached.
- Desired Outcomes: This information is available from the Accountability Question - Goals.
- Measures used: Document what measure(s) were chosen.
- Design chosen: Document which evaluation design was utilized.
- Number of people who were measured in the evaluation: How many completed the evaluation? (Skip this section if the only method was a review of archival data.)
- Data analysis method: How were the data analyzed?
- Pre and Post scores and their difference (if applicable): Calculate the post score minus pre score for each participant to obtain the “difference” score between the two. Then take an average of all those “difference” scores.
- Interpretation of the results: What interpretations can be made when all of the data are considered together?

Using the Outcome Evaluation Tool in this way can also assist when writing reports for various constituencies, including funders.

### **SOBRIETY CHECKPOINT QUESTIONNAIRE TO THE PUBLIC**

One potential negative effect of conducting the checkpoints is the inconvenience and intrusion that the checkpoints may cause for drivers. While this is usually minimal, opponents of checkpoints may use this argument to prevent the use of checkpoints. Therefore, it is important to collect data about this issue. We have included a sample questionnaire from NHTSA that could be distributed to all drivers and riders passing through the checkpoints and then mailed back to the law enforcement agency (See Sample Sobriety Checkpoint Questionnaire to

the Public). The questionnaire could be placed on a postcard, and prepaid postage will greatly increase the return rate of the questionnaires. The response rate will be important to track (how many returned divided by the total number distributed) and should be included in any report about the data. Use this data from the questionnaire when continuing to get support for the checkpoints in the future.

#### REFERENCES AND OTHER RESOURCES

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- Peek-Asa, C. (1999). The effect of random alcohol screening in reducing motor vehicle crash injuries. *American Journal of Preventive Medicine*, 16, 57-67.
- Presseur, D., & Stewart, K. (2000). *A guide to zero tolerance and graduated licensing: Two strategies that work*. Prepared by the Office of Juvenile Justice and Delinquency Prevention and the Underage Drinking Enforcement Training Center. Calverton, MD: Pacific Institute for Research and Evaluation. Also available at <http://www.udetc.org/documents/Guide2zero.pdf>
- Shults, R. A., Elder, R. W., Sleet, D. A., Nichols, J. L., Alao, M. O., & Carande-Kulis, V. G., (2001). Reviews of evidence regarding interventions to reduce alcohol-impaired driving. *American Journal of Preventive Medicine*, 21, 66-88.

Environmental Strategy: \_\_\_\_\_ Date \_\_\_\_\_

Name of person completing form: \_\_\_\_\_



**PLANNING TOOL**

# SOBRIETY/TRAFFIC SAFETY CHECKPOINTS

## Summary

Briefly provide the title and summary for this environmental strategy.

**Title:**

**Summary:**

## Components

The two primary components for sobriety checks are the checkpoints and the efforts to use the media to promote the checkpoints.

## Identifying Anticipated Outputs

What outputs will show that the activities were implemented as intended? Outputs are the direct products of activities and usually are measured in terms of work accomplished.

Component	Actions Taken	Anticipated Output(s): How many...
Component 1: SOBRIETY/ TRAFFIC SAFETY CHECKPOINTS	Number of days that checkpoints are planned	
	Number of hours that checkpoints are planned	
	Number of vehicles detained	
	Number of officers recruited	
	Number of volunteers recruited	

Component	Actions Taken	Anticipated Output(s): How many...
Component 2: MEDIA AWARENESS AND ADVOCACY	Press releases issued	__ releases, __ media outlets
	Letters to the editor written	__ letter, __ papers
	PSAs aired	
	Advertisements placed	
	Materials distributed	
	Press conferences held	
	Number of media personnel contacted	
	Other:	

## Planning each component

Each component needs to be planned. Consider all of the activities that need to be completed in order to make each component successful. Each component includes several activities.

<b>Component 1: Sobriety/Traffic Safety Checkpoints</b>				
<b>Specify Key Activities</b>	<b>Scheduled Dates</b>	<b>Who Is Responsible?</b>	<b>Resources Needed/ Materials to Be Provided</b>	<b>Location</b>
Assign a senior officer to plan the sobriety/traffic safety checkpoints.	6 months prior			
Convene a meeting of local law enforcement agencies.				
Develop an operations plan for the checkpoints. The plan should include back-up places and times for the checkpoints.				
Determine what level of training the personnel will require.				
Enlist the support of a prosecuting attorney familiar with the state, county and city's laws regarding sobriety checkpoints.	5 months prior			
Select several options for sites by examining: -traffic flow -adequacy of shoulder space -sufficient visibility from a distance				
Select the best site(s).				
Ensure signage and other warning devices for the checkpoints are in working order and meet federal, state or local transportation codes. Check the Manual of Uniform Traffic Control Devices. Order or reserve any additional signage that might be needed at the checkpoints.	4 months prior			
Work with the jurisdiction's presiding judge: -Inform him/her about checkpoints -Obtain the judge's insight on what steps and activities are required to effectively adjudicate cases	3 months prior			
Recruit collaborators such as: -sponsors for the media awareness -volunteers to assist with operations, if necessary				
Decide on and print literature to be distributed during the checkpoints.	1 month prior			
Orient and train volunteers.	2 weeks prior			
Conduct checkpoints.	Day of			

## Component 1: Sobriety/Traffic Safety Checkpoints

Specify Key Activities	Scheduled Dates	Who Is Responsible?	Resources Needed/ Materials to Be Provided	Location
Gather and update media contact lists.	3 months prior			
Select dates and places for news conferences to promote the checkpoints. 1. Have one describing the data collected about alcohol-related problems especially those relating to drinking and driving. 2. Have a second news conference if sobriety/traffic safety checkpoints laws are changed or better enforced.				
Coordinate the promotional effort with law enforcement agencies in areas of the checkpoints				
Write a media advisory and news release publicizing the checkpoints.	1 month prior			
Work with your local TV stations, radio stations, & newspapers to run PSAs promoting the checkpoints.				
Encourage the local paper to run an article about the effect of impaired driving in your community.				
Mail a letter to the editors of local newspapers regarding the checkpoint.	2 weeks prior			
Invite the media to cover the checkpoints or a training session.				
Develop a media awareness campaign promoting the checkpoints and that those driving while impaired will be arrested.				
Other:				

## Collaboration Partners

Who are the collaboration partners for the sobriety/traffic safety checkpoint strategy and what are their intended roles?

Collaboration Partner	Role of Partner

## Potential Barrier and Solutions

Passing a sobriety/traffic safety checkpoints law can be difficult and often faces many challenges. It is helpful to forecast what these challenges or barriers might be and to generate possible solutions for them. In the table below, common barriers are listed. The group can add other in the spaces provided and generate proposed solutions to each barrier.

Potential Barriers	Potential Solutions
Lack of community and/or political support.	
The use of a large number of police officers during sobriety/traffic safety checkpoints.	
The intervention may be prohibited by some state courts due to intrusion to motorists.	
Police may be frustrated with low arrest rates and need to be routinely informed about the important preventive effects their enforcement is having.	
Other:	



### Summary Checklist

What must be done to prepare for this strategy? Indicate “Y” (Yes), “N” (No), or “NA” (Not applicable) regarding the tasks below. Have these tasks/activities been sufficiently addressed?

CHECKLIST ITEM		If no, plan for completion	By when?
Component 1: Sobriety/Traffic Safety Checkpoints			
Y/N/NA	Resources obtained		
	Person responsible		
	Staff trained		
	Duties assigned		
	Location identified		
	Timeline written		
	Collaborative partners identified		
	Program materials developed		
	Barriers considered		
	Other:		
	Other:		

<b>CHECKLIST ITEM</b>		<b>If no, plan for completion</b>	<b>By when?</b>
Component 2: Media Awareness and Advocacy			
Y/N/NA	Resources obtained		
	Person responsible		
	Staff trained		
	Duties assigned		
	Location identified		
	Timeline written		
	Collaborative partners identified		
	Materials developed		
	Barriers considered		
	Other:		
	Other:		

Environmental Strategy: \_\_\_\_\_ Date: \_\_\_\_\_

Name of person completing form: \_\_\_\_\_



**IMPLEMENTATION TOOL**

# **SOBRIETY CHECKPOINTS**

## **Monitoring Component Outputs**

### **Component 1: Sobriety/Traffic Safety Checkpoints**

<b>Output</b>	<b>Dates</b>	<b>Imp. as Planned? (High, Medium, Low, No)</b>	<b>Anticipated Program Output(s)</b>	<b>Actual Program Output(s)</b>	<b>% Output Actual/ Anticipated</b>
Number of days that checkpoints were done					
Number of hours that checkpoints were done					
Number of vehicles detained					
Number of officers employed					
Number of volunteers used					

### **Progress, Problems, & Lessons Learned Regarding Outputs**

**Component 2: Media Awareness and Advocacy**

<b>Output</b>	<b>Dates</b>	<b>Implemented as Planned? (High, Medium, Low, No)</b>	<b>Anticipated Program Output(s)</b>
Press releases issued			
Letters to the editor written			
PSAs aired			
Advertisements placed			
Materials distributed			
Press conferences held			
Number of media personnel contacted			
Other:			
Other:			

**Progress, Problems, & Lessons Learned Regarding Outputs**

## Planning Activities

Components	Key Planning Activities	Dates Scheduled to Complete Activity	Actual Date of completion
Component 1: SOBRIETY/ TRAFFIC SAFETY CHECKPOINTS	Assign a senior officer to plan the sobriety checkpoints.		
	Convene a meeting of local law enforcement agencies.		
	Develop an operations plan for the checkpoints. The plan should include back-up places and times for the checkpoints.		
	Adequate training of all personnel.		
	Gained support of a prosecuting attorney familiar with the state, county and city's laws regarding sobriety checkpoints.		
	Identify legally mandated requirements and the types of evidential information that will be needed to prosecute cases arising from the checkpoints.		
	Reviewed potential selection of site(s) and chose the best one(s).		
	Ensure signage and other warning devised to be used at the checkpoints are in working order and meet federal, state or local transportation codes. Ordered or reserved any additional signage that might be needed at the checkpoint.		
	Worked with jurisdiction's presiding judge: -Informing him/her about the checkpoints -Obtaining judge's insight on what steps and activities are required to effectively adjudicate cases.		
	Recruited collaborators as: -sponsors for the media awareness materials -volunteers to assist with operations, in necessary.		
	Literature printed to be distributed during checkpoints.		
	Volunteers oriented and trained.		
	Checkpoints implemented.		

### Progress, Problems, & Lessons Learned (i.e., barriers for not completing key activities on time)

Components	Key Planning Activities	Dates Scheduled to Complete Activity	Actual Date of Completion
Component 2: MEDIA AWARENESS AND ADVOCACY	Gather and update media contact lists.		
	Select dates and places for any news conferences planned 1. Have one describing the data collected about drinking and driving 2. Have a second news conference if the laws promoting checkpoints are changed or better enforced.		
	Coordinate the promotional effort with law enforcement agencies in your area.		
	Write a media advisory and news release publicizing the purpose of the checkpoints		
	Work with your local TV stations, radio stations, & newspapers to air PSAs promoting the details of the checkpoints		
	Encourage the local paper to run an article about the effect of impaired driving in your community		
	Mail a letter to the editors of local newspapers regarding the checkpoints		
	Invite the media to cover the checkpoints or a law enforcement training session		
	Other:		
	Other:		

**Progress, Problems, & Lessons Learned (i.e., barriers for not completing key activities on time)**

## Collaboration Partners

Anticipated Partner	Actual Partner	Anticipated Role	Actual Role

## Progress, Problems, & Lessons Learned Regarding Collaboration

# Sample Sobriety Checkpoint Questionnaire to the Public

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**Help your local law enforcement refine their efforts to halt impaired driving!**

(Fill out the following questionnaire and drop it in the mail to  
[YOUR DEPARTMENT'S ADDRESS].)

Is this the first sobriety checkpoint that you have encountered?

- Yes, this is the first checkpoint I have ever encountered.  
 No. If no, where and when was the previous checkpoint? \_\_\_\_\_

Did you hear about the Sobriety Checkpoint in advance?

- Yes  
 No

If yes, where did you hear about the Checkpoint?

- Television  
 Radio  
 Newspaper  
 Friend  
 Community Group/Church Group  
 Other (please specify) \_\_\_\_\_

Approximately how long did you have to wait in line before you passed through the checkpoint?

- Less than a minute  
 1-3 minutes  
 4-6 minutes  
 7-10 minutes  
 More than 10 minutes

[ENTER LOCAL IMPAIRED DRIVING STATISTICS] occur each year in our community.

Do you feel that the wait time you experienced at the checkpoint was worth it make our roads safer?

- Yes, the inconvenience is worth it  
 No, the inconvenience is not worth it

Do you have any other comments or suggestions?

Be sure to include your agency's address on the reverse side of the questionnaire.

*From the National Highway Traffic Safety Administration, U.S. Department of Transportation*



## 6. Graduated Drivers' Licensing Laws

**Research Summary on Graduated Drivers' Licensing Laws:**

One evaluation of six states showed at least some crash reduction among teen drivers following graduated licensing implementation. In other words, fewer teens are experiencing crashes and becoming injured (Shope & Molnar, 2003). Declines in the crash rates after the graduated licensing have also been documented in studies of individual states, including California (17–28 percent (Rice et al., 2004; Cooper et al., 2004), Michigan (19 percent) (Shope & Molnar, 2004), and Utah (16 percent) (Hyde, Cook, Knight, and Olson, 2005). Despite these improvements, adherence to the restrictions

and their enforcement could be better. For example, Goodwin and Foss (2004) studied how well North Carolina's graduated licensing restrictions are known, complied with, and enforced, using interviews with 900 teenagers and their parents and discussions with 20 law enforcement officers. While knowledge of the restrictions among parents and teenagers was high, violations of the restrictions by teenagers ranged from 25 percent to 33 percent per restriction. Both teenagers and the officers interviewed expressed little concern about graduated licensing enforcement. While officers strongly supported graduated licensing, they were not familiar with its details.

### PLANNING

**Determine whether the state has any graduated license law in place.** The table below from the National Transportation Safety Board provides a quick overview of the key aspects of graduated licensing in each state as of September 2005. For a more detailed view of the current graduated licensing laws in all states, go to the website of the Insurance Institute for Highway Safety (IIHS) at [http://www.iihs.org/laws/state\\_laws/pdf/us\\_licensing\\_systems.pdf](http://www.iihs.org/laws/state_laws/pdf/us_licensing_systems.pdf).

**Table 13. State Graduated Licensing Laws (Current as of September 2005)**

	GDL 3-stage system H-93-8 & H-02-32	Nighttime Restriction H-93-9	Passenger Restriction H-02-30 & -32	Cell Phone Restriction H-03-8
Alabama	Yes	Yes	Partial	
Alaska	Yes	Yes	Yes	
Arizona	Partial			
Arkansas	Partial			
California	Yes	Yes	Yes	
Colorado	Yes	Yes	Yes	Partial
Connecticut	Partial	Yes	Yes	Yes
Delaware	Yes	Yes	Partial	Yes
District of Columbia	Yes	Yes	Yes	Partial
Florida	Yes	Yes		
Georgia	Yes	Yes	Yes	
Hawaii	Yes	Yes	Partial	
Idaho	Yes	Yes		
Illinois	Yes	Yes	Yes	Yes
Indiana	Yes	Yes	Partial	
Iowa	Yes	Yes		
Kansas	Partial			
Kentucky	Partial			
Louisiana	Yes	Yes		

Table 13. State Graduated Licensing Laws (continued)				
	GDL 3-stage system H-93-8 & H-02-32	Nighttime Restriction H-93-9	Passenger Restriction H-02-30 & -32	Cell Phone Restriction H-03-8
Maine	Yes	Yes	Yes	Yes
Maryland	Yes	Yes	Partial	Yes
Massachusetts	Yes	Yes	Partial	
Michigan	Yes	Yes		
Minnesota	Partial			Yes
Mississippi	Yes	Yes		
Missouri	Yes	Yes		
Montana	Yes	Yes	Partial	
Nebraska	Yes	Yes		
Nevada	Partial	Yes	Partial	
New Hampshire	Yes	Yes	Yes	
New Jersey	Yes	Yes	Yes	Yes
New Mexico	Yes	Yes	Yes	
New York	Yes	Yes	Partial	Partial
North Carolina	Yes	Yes	Yes	
North Dakota	Partial			
Ohio	Yes	Yes		
Oklahoma	Yes	Yes	Yes	
Oregon	Yes	Yes	Yes	
Pennsylvania	Yes	Yes		
Rhode Island	Yes	Yes	Yes	
South Carolina	Yes	Yes	Partial	
South Dakota	Yes	Yes		
Tennessee	Yes	Yes	Yes	Yes
Texas	Yes	Yes	Yes	Partial
Utah	Partial	Yes	Yes	
Vermont	Yes		Yes	
Virginia	Yes	Yes	Partial	
Washington	Yes	Yes	Yes	
West Virginia	Yes	Yes	Partial	
Wisconsin	Yes	Yes	Yes	
Wyoming	Partial	Yes	Partial	
<b>TOTAL</b>	<b>Yes: 39 States and DC Partial: 11 States</b>	<b>43 States and DC</b>	<b>Yes: 20 States and DC Partial: 13 States</b>	<b>Yes: 8 Partial: 3 and DC</b>

The best graduated license system includes:

- A learner’s stage, beginning at age 16 and lasting at least 6 months;
- An intermediate license phase (after passing the driver’s test) that includes:
  - Banning unsupervised night driving (after 9:00 or 10:00 pm) during the first 6 to 12 months of licensure.
  - Banning unsupervised driving with more than one passenger anytime;

- A full license phase beginning at age 18, that can only be obtained after completing the first two stages without a motor-vehicle crash or conviction.

No state law meets or exceeds all of these requirements, but most states do impose some set of the above core requirements. Some states add other requirements, including seat belt use provisions, cell phone use restrictions, driver education, and

penalty systems so that violations result in license suspension or extension of the holding period.

The type of graduated licensing laws a state has will determine the course of action. If the state has few of these restrictions, mobilization will be needed to get more graduated licensing restrictions passed. This effort could target a county, but would most likely be at the state level. If there is a comprehensive graduated license law, the degree to which it is being enforced will need to be assessed.

**Provide a ready-made graduated licensing law** so lawmakers will have something to work with. An example of a graduated licensing law drafted by the National Highway Traffic Safety Administration (NHTSA) includes the following.

There are three key issues to decide when drafting a graduated license law:

- **Learner stage** - This refers to what age the learner stage will start and how long it must last. It is recommended that the minimum age for a learner's permit be 16 and that the learner stage last no less than 6 months.
- **Banning unsupervised nighttime driving** - Most license laws only ban unsupervised driving after 11 p.m. or midnight. However, this restriction misses critical times when youth drive (i.e., in the early evening.) It is recommended that the minimum hour for banning unsupervised driving be 9 or 10 p.m. until full licensure.
- **Banning passengers** - Statistics show that when young drivers have others in the car, they are more likely to have motor-vehicle crashes. Therefore, it is recommended that, until full licensure, young drivers have no more than one passenger in the car.

**Build community support for this strategy** from parents, law enforcement, and other community members. Focus public awareness activities in the community and highlight the relationship between unrestricted youth driving and increased motor-vehicle crashes and fatalities. There should also be public awareness that when more comprehensive graduated licensing laws are in place, both parents and law enforcement can better manage the risks of youth driving.

The following are different media awareness and advocacy strategies that can be utilized:

- a. Contact a local representative to convince him or her that enacting a comprehensive graduated driver's licensing law or ordinance is a good idea.
- b. Hold individual meetings with those who are in key positions to affect change (e.g., elected officials, alcohol policy organizations, and insurance companies).
- c. Specifically target parents to help them manage their children's driving. The National Safety Council has developed a low cost guide to help parents. It can be ordered at: <http://www.nsc.org/issues/teendriving/guide.htm>.
- d. Provide parents with concrete tools. There are parent/teen agreements forms or contracts that many agencies (including insurance companies) have devel-

oped. Use of these types of contracts has been found to increase parental restriction of high-risk teen driving conditions among newly licensed drivers (Simons-Morton et al., 2005).

- e. Hold a press conference describing the data about the number of youth motor-vehicle crashes that occur in your community. Hold a press conference covering changes in local laws to address the issue of unrestricted youth driving if and when they are changed or better enforced.
- f. Work with local media outlets to air PSAs describing the problems caused by having few restrictions on youth driving and how comprehensive graduated licensing laws can help reduce youth motor-vehicle crashes.
- g. Write letters to the editor about the problem caused by having few restrictions on youth driving and how graduated licensing laws can help.
- h. Try to get media coverage of the problem. Stage a rally or an event in or near an area where there are or have been a large number of youth drivers (e.g., high schools).
- i. Issue press releases highlighting key activities and important events such as public hearings on a potential graduated licensing law.
- j. Write an "Op-Ed" piece. See FACE ([www.faceproject.org](http://www.faceproject.org)) for a sample Op-Ed piece and instructions.
- k. Ensure that the coalition members are available to be interviewed and educate all members about the data on youth motor-vehicle crashes and how having few restrictions on youth driving contributes to this problem, so they are well-prepared and knowledgeable.

#### **Arguments for Graduated Licensing laws that can be used in the media awareness and advocacy efforts:**

- In the United States, 16-year-olds have higher motor-vehicle crash rates than drivers of any other age, including older teenagers. Graduated licensing laws are specifically designed to protect young, new drivers from harm.
- Graduated licensing introduces beginners to driving in a low-risk manner, protecting both them and others on the road while they learn to drive.
- Research indicates that graduated licensing programs have reduced the number of motor-vehicle crashes by young drivers in the United States. Almost all studies have found crash reductions from about 10 to 30 percent.
- Banning nighttime driving of drivers in the intermediate or learning stages helps save lives since many motor-vehicle crashes involving youth drivers occur at night
- Banning more than one passenger from riding with drivers in the intermediate or learning stages helps save lives. Crash statistics show that the risk of motor-vehicle crashes among youth drivers increases with more passengers.
- States with graduated licensing laws report that the

benefits far outweigh any costs. In Oregon, the administrative costs were about \$150,000 while the benefits were estimated at nearly \$11 million for a benefit-to-cost ratio of better than 74 to 1.

- **Parents support graduated licensing.** A 2000 Insurance Institute for Highway Safety survey of parents of young drivers in California who had gone through the graduated licensing process found 95% of parents support a 6-month period of supervised driving, 94% favor night driving restrictions, 84% favor restricting teenage passengers during the first 6 months, and 97% favor a licensing system that includes all of these components.

### **Tools for Planning, Implementation and Evaluation:**

In this example, there are several tools that can be customized and utilized in the community to help plan, implement, and evaluate graduated license laws.

- **Graduated Licensing Laws Planning Tool**
- **Graduated Licensing Laws Implementation Tool**
- **Graduated Licensing Laws Outcome Evaluation Tool (Appendix N)**

### **GRADUATED LICENSING LAWS PLANNING TOOL**

The Graduated Licensing Laws Planning Tool will help plan the primary component to this strategy: media awareness and advocacy to promote the passage and enforcement of a graduated licensing law.

**Identifying Anticipated Outputs.** Outputs are the direct products of a strategy's components and usually are measured in terms of work accomplished (e.g., number of meetings with lawmakers, etc.). Outputs indicate whether the strategy is going in the direction that was intended. The Graduated Licensing Laws Planning Tool already has several anticipated outputs listed that will be important to track over time. It may be necessary to add others.

**Planning Each Component.** Document the major activities that need to be completed in order to be successful in implementing the media advocacy efforts. It is important to list each of these activities since this is where detailed action steps will occur. We have specified activities that are useful in planning the media advocacy in the Graduated Licensing Laws Planning Tool. For every activity, consider the important planning elements:

- **Scheduled dates.** When will the activities occur? By deciding upon the approximate dates for the completion of each activity, a timeline will emerge. Use these dates to assess if the proposed activities are being implemented in a timely fashion.
- **Who will be responsible?** Before implementation, decide who will be responsible for each activity. Will it be staff of the coalition, volunteers, members of community agencies?
- **Resources needed.** Consider what resources are needed for each activity. This may be financial resources as well as specific supplies. Do any materials need to be purchased? Will they be donated?

- **Location.** Determine where to hold the various activities.

**Collaboration Partners.** In this section, identify the collaborative partners and their roles in the effort. Collaboration, including the development of additional community partnerships, is an integral part of any media advocacy effort.

**Implementation Barriers.** Local laws and ordinances are difficult to change. It is helpful to forecast what the challenges or barriers might be and generate possible solutions for them. The Graduated Licensing Laws Planning Tool has prompts when considering the potential barriers and space to generate solutions to those barriers. There may be additional barriers encountered that the coalition should add to the Planning Tool. Although the solutions may not be currently known, the Planning Tool can be updated at any time.

## **PROCESS EVALUATION**

A process evaluation assesses what activities were implemented, the quality of the implementation, and the strengths and weaknesses of the implementation. This information can help to strengthen and improve the strategy over time.

### **GRADUATED LICENSING LAWS IMPLEMENTATION TOOL**

The Graduated Licensing Laws Implementation Tool is designed to assess several aspects of implementation, including whether the media awareness and advocacy was implemented according to the plan. Information from the Graduated Licensing Laws Planning Tool is transferred to the subsequent sections of the Graduated Licensing Laws Implementation Tool. Although all parts of the Planning Tool should be referred to periodically, the Implementation Tool should be used all of the time. 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 Component Outputs**

In this part of the Implementation Tool, dates of each proposed activity and their anticipated output (as stated in the Planning Tool) are recorded in the appropriate column. Later, after each activity is implemented, the actual outputs for each component are recorded. The anticipated output can be expressed as the %Output. This number represents a comparison of the anticipated outputs and actual outputs. Dividing the actual output by the anticipated output and multiplying that number by 100 produces the %Output.

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

For example, if 50 meetings with lawmakers were planned, use the Implementation Tool to record the actual number of meetings planned. If only 30 meetings were held, the %Output would be 60% (30/50 x 100 = 60%). The Implementation Tool is designed to be flexible. The level of information recorded will vary depending on the particular environmental strategy.

In some cases, it may be most efficient to record data on a day-by-day basis. In other cases, it may be most efficient to present data by summing up information over weeks or months.

**Component.** In this column, list the name of the component as stated in the Planning Tool. The main component, media awareness and advocacy, is already completed.

**Date.** In the “date” column, describe the time period that the information in that row represents. As stated above, data may be aggregated across different time spans. The type of date(s) recorded here may vary.

**Implemented as Planned?** The third column asks for a consideration of how well the components were implemented. Rate the implementation as “high”, “medium”, or “low”. If the implementation of the activity was very close to or exactly like it was planned, the rating would be “high”. If, for whatever reason, major changes occurred during the implementation (e.g., certain barriers or practical considerations made it necessary to change the design), a rating of “low” would be appropriate.

**Anticipated Output(s).** In the fourth column, place the anticipated output(s) that were listed in the Planning Tool.

**Actual Output(s).** The actual output(s) are listed in this column. If, for example, the coalition planned to meet with 50 lawmakers but only met with 30, 50 meetings would be the “anticipated output” and 30 meetings would be the “actual output”.

**%Output Actual/Anticipated.** Divide the actual output by the anticipated output and multiply by 100. Place that number in this column.

**Progress, Problems, and Lessons Learned.** Successes, challenges, barriers, changes to the media awareness and advocacy strategy, and other lessons learned with regard to activities should be recorded in this column.

### Planning Activities

The Implementation Tool monitors whether the tasks in the plan were completed in a timely fashion.

**Components, Key Planning Activities, Dates Scheduled to Complete Activity.** The specific component, the corresponding planning activity, and dates by which the activity was to be completed should be taken from the Planning Tool and reprinted here.

**Actual Date of Completion.** The date that the planning activity is actually completed should be entered here.

**Progress, Problems, and Lessons Learned.** Successes, challenges, barriers, changes to the media awareness and media advocacy plan and other lessons learned with regard to the completion of planning activities should be recorded under “Progress, Problems, and Lessons Learned”.

### Collaboration Partners

In this part of the Implementation Tool, address the extent to which the media awareness and advocacy strategy achieved the expected collaboration. There are three sections of information in this part:

**Anticipated Partner/Anticipated Role.** The anticipated partners are identified in the Planning Tool. Collaboration partners and their roles are copied into the anticipated partners and anticipated roles sections, respectively.

**Actual Partner/Actual Role.** In these columns, differences between the actual and anticipated partners and roles identified in the plan are documented. Agencies or organizations that became partners after the strategy was initiated or after the plan was submitted may be identified here. When an anticipated partner does not collaborate as expected, this should be documented here and explained in greater detail under “Progress, Problems, and Lessons Learned”.

**Progress, Problems, and Lessons Learned.** Successes, challenges, barriers, changes to the activities and other lessons learned with regard to the collaboration partners should be recorded under “Progress, Problems, and Lessons Learned”.

### Progress, Problems, and Lessons Learned

For each part of the Implementation Tool, space is provided under “Progress, Problems, and Lessons Learned” to document the successes and challenges experienced during the implementation of the media awareness and advocacy plan. Documenting and reviewing the progress, problems, and lessons learned on a regular basis helps to track ways that the media advocacy plan might be adjusted. Recording the successes and challenges is helpful for at least two reasons.

- Looking for barriers, obstacles, and challenges to the media advocacy plan allows for the opportunity to make improvements.
- Recording challenges and successes helps to avoid pitfalls in future implementation of the media advocacy efforts.

There are two issues to be considered in the “Progress, Problems, and Lessons Learned” section. The first has to do with specific aspects of what went well and not so well during implementation. The second involves thoughtful consideration of areas in need of attention. How often these questions are addressed may vary, but it is important to ask these questions frequently and to keep a written record of any changes that need to be made. For example, when doing media advocacy, evidence may indicate that the number of parents being informed about graduated licensing laws are much less than what was planned. As a result, it may be useful to reconsider some of the activities (e.g., which media outlets would best reach parents) and then to make necessary changes to ensure that a larger number of parents are encouraged to: a) advocate for more comprehensive graduated license laws; and b) place their own restrictions on their children’s driving.

## Meeting Contact Form (Appendix M)

One-on-one meetings with key community stakeholders who have responsibility for enacting and/or enforcing a graduated licensing law are important aspects of the media advocacy efforts. It will be important to document these meetings. Using the Meeting Contact Form, it is possible to track the name and contact information, attitude toward youth driving and graduated licensing laws, goals and objectives for the meeting (and which were met), and follow-up actions that need to be done.

## Policy Journal

Patterned after the Policy Journal used in Communities Mobilizing for Change on Alcohol (CMCA; Wagenaar et al., 1999), the Policy Journal is designed to help track the coalition's impact on the local laws and ordinances that govern graduated licensing laws. For example, it will be important to document when each of the following policies were enacted:

- Creation of three stages of driving: learner's permit, intermediate, full licensure
- Learner's permit stage
  - Minimum age for learner permit is 16
  - Learner stage is at least 6 months
  - Minimum amount of supervised driving is 30 hours
- Intermediate stage
  - Starts at a minimum of 16 years of age
  - Bans unsupervised nighttime driving after 9 or 10 p.m.
  - Bans more than one passenger anytime
- Full licensure
  - Must pass through first two stages free of motor-vehicle crashes or convictions for six months prior to applying for the next stage

Each time any type of graduated license law is enacted, write a brief summary of what the exact policy change is using the Graduated License Policy Journal. Record the following:

- Provision in place?* Yes or no. It could be the county or state legislature.
- Date change goes into effect.*
- How did the coalition's efforts lead to this change?* Summarize how the group's actions caused the above changes.
- Comments.* Any narrative to further explain the change in law.

Over time, the information collected in this Policy Journal form will be useful when looking at longer-term outcomes, such as rates of youth crashes.

# OUTCOME EVALUATION

## What should be measured?

Evaluation data for graduated licensing laws can come from many sources, including objective data (e.g., archival data) and subjective data (e.g., self-reported surveys). The following are examples of objective data that might be good outcomes to track as a result of enacting graduated license laws:

- Rates of youth motor-vehicle crashes and injuries in traffic accidents among those 16 and 17 years of age.
- Rates of youth motor-vehicle fatalities in traffic accidents among those 16 and 17 years of age.
- Rates of compliance and/or noncompliance with the graduated licensing law
- Rates of DUI arrests among youth ages 16 and 17.

This type of data could be gathered from the state or local police department, the local health department, and the Mothers Against Drunk Driving organization. In addition, there is a web system called the Fatality Analysis Reporting System (FARS) organized by NHTSA ([www-fars.nhtsa.dot.gov](http://www-fars.nhtsa.dot.gov)) that allows users to access motor-vehicle crash data online. Its database can be queried to produce reports at the state, county, or city level.

Subjective data that could be collected from a survey (e.g., parents, youth, law enforcement) include:

- Self-report of violations of the various aspects of the current graduated license law (e.g., how many times in the last month did you drive without an adult after 9 p.m.?)
- Attitudes towards graduated license laws
- Awareness of the restrictions imposed by the current graduated license laws
- Level of enforcement of graduated licensing laws

## GRADUATED LICENSING LAWS OUTCOME EVALUATION TOOL

It is important for communities to have various types of information about the strategies documented. The Outcome Evaluation Tool is designed to organize the following information:

- **Summary of the needs and resources assessments:** Briefly summarize the results of the needs and resources assessments.
- **The target group (including numbers):** Briefly state who the target population is (e.g., parents, lawmakers, etc.), and how many were reached.
- **Desired Outcomes:** This information is available from the Accountability Question - Goals.
- **Measures used:** Document what measure(s) were chosen.
- **Design chosen:** Document which evaluation design was utilized.
- **Number of people who were measured in the evaluation:** How many completed the evaluation? (Skip this section if the only method was a review of archival data.)
- **Data analysis method:** How were the data analyzed?

• **Pre and Post scores and their difference (if applicable):** Calculate the post score minus pre score for each participant to obtain the “difference” score between the two. Then take an average of all those “difference” scores.

• **Interpretation of the results:** What interpretations can be made when all of the data are considered together?

Using the Outcome Evaluation Tool in this way can also assist when writing reports for various constituencies, including funders.

## REFERENCES

- Cooper, D., Gillen, D., & Atkins, F. (2004). *Impacts of California's graduated licensing law of 1998*. Berkeley, CA: University of California Institute of Transportation Studies.
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- Simons-Morton, B.G., Hartos, J.L., Leaf, W.A., & Preusser, D.F. (2005). Persistence of effects of the Checkpoints Program on parental restrictions of teen driving privileges. *American Journal of Public Health*, 95, 447-452.

Environmental Strategy: \_\_\_\_\_ Date \_\_\_\_\_

Name of person completing form: \_\_\_\_\_



**PLANNING TOOL**

# GRADUATED DRIVERS' LICENSE LAWS

## Summary

Briefly provide the title and summary for this environmental strategy.

**Title:**

**Summary:**

## Components

The primary component for a graduated license law will be the efforts to use the media to promote the passage and enforcement of a graduated license law.

## Identifying Anticipated Outputs

What outputs will show that the activities were implemented as intended? Outputs are the direct products of activities and usually are measured in terms of work accomplished.

Component	Actions Taken	Anticipated Output(s): How many...
Component 1: MEDIA AWARENESS AND ADVOCACY	One-on-one meetings	__meetings
	Public hearings about passing new and better graduated license laws	__hearings
	Press releases issued	__releases, __media outlets
	Letters to the editor written	__letter, __newspapers
	PSAs aired	
	Advertisements placed	
	Materials distributed	
	Press conferences held	
	Number of media personnel contacted	
	Op-ed pieces written	
	Other:	
	Other:	

## Planning each component

Each component needs to be planned. Consider all of the activities that need to be completed in order to make each component successful. Each component includes several key activities.

### Component 1: Media Awareness and Advocacy

Specify Key Activities	Scheduled Dates	Who Is Responsible?	Resources Needed/ Materials to Be Provided	Location
Gather and update media contact lists.				
Select dates and places for news conferences planned 1. Have one describing the data collected about the number of youth crashes that occur locally. 2. Have a second news conference if graduated license laws are changed or better enforced.				
Contact and meet with those who have influence over graduated license laws or who would make useful allies, including: h) The state legislators i) Law enforcement groups j) Insurance agencies k) Elected officials l) Local school officials m) Neighborhood organizations a) Parent and merchant groups				
Write a news release publicizing the problems that can be caused by unrestricted high-risk youth driving.				
Work with your local TV stations, radio stations, and newspapers to run PSAs describing the problems that can be caused by unrestricted high-risk youth driving and how graduated license laws can help.				
Encourage the local paper to run an article about the problems that can be caused by unrestricted high-risk youth driving and how graduated license laws can help.				
Invite the media to cover the public hearings about passing a new graduated license law.				
Other:				
Other:				

## Collaboration Partners

Who are the collaboration partners for the graduated license strategy and what are their intended roles?

Collaboration Partner	Role of Partner

## Potential Barrier and Solutions

Passing and enforcing graduated drivers' license laws can be difficult. It is helpful to forecast what these challenges or barriers might be and to generate possible solutions for them. In the table below, common barriers are listed. The group can add others in the spaces provided and generate proposed solutions to each barrier.

Potential Barriers	Potential Solutions
Law enforcement may give graduated license laws low priority.	<p>Meet with law enforcement and tell them that states with graduated licensing report that the benefits far outweigh any costs. In Oregon, the administrative costs were about \$150,000 while the benefits were estimated at nearly \$11 million for a benefit-to-cost ratio of better than 74 to 1.</p> <p>Other solutions:</p>
Parents and teens may believe that graduated license laws unfairly interfere with school and work.	<p>States can and do allow waivers so a teenager may drive during restricted times to work or to attend school activities. These exemptions don't reduce the restrictions' effectiveness because the increased crash risk at night is largely due to the combination of more difficult driving conditions and distractions caused by teenage passengers. Young people driving to work are unlikely to have teen passengers.</p> <p>Other solutions:</p>
Officials may believe that implementing comprehensive graduated license laws will be costly.	<p>Tell elected officials that states with graduated licensing report that the benefits far outweigh any costs. In Oregon, the administrative costs were about \$150,000, while the benefits were estimated at nearly \$11 million for a benefit-to-cost ratio of better than 74 to 1.</p> <p>Other solutions:</p>
Elected officials may believe that graduated license laws are unpopular and, therefore, will not support them.	<p>On the contrary, parents support graduated licensing. A 2000 Insurance Institute for Highway Safety survey of parents of young drivers in California who had gone through the graduated licensing process found 95% of parents support 6-month period of supervised driving, 94% favor night driving restrictions, 84% favor restricting teenage passengers during the first 6 months, and 97% favor a licensing system that includes all of these components.</p> <p>Other solutions:</p>
Other:	Other:
Other:	Other:



## Summary Checklist

What must be done to prepare for this strategy? Indicate “Y” (Yes), “N” (No), or “NA” (Not Applicable) regarding the tasks below. Have these tasks/activities been sufficiently addressed?

CHECKLIST ITEM		If no, plan for completion	By when?
Component 1: Media Awareness and Advocacy			
Y/N/NA	Resources obtained		
	Person responsible		
	Staff trained		
	Duties assigned		
	Location identified		
	Timeline written		
	Collaborative partners identified		
	Program materials developed		
	Barriers considered		
	Other:		
	Other:		

Environmental Strategy: \_\_\_\_\_ Date: \_\_\_\_\_

Name of person completing form: \_\_\_\_\_



**IMPLEMENTATION TOOL**

# GRADUATED DRIVERS' LICENSE LAWS

## Monitoring Component Outputs

### Component 1: Media Awareness and Advocacy

Output	Implemented. as Planned? (High, Medium, Low, No)	Anticipated Output(s)	Actual Output(s)	% Output Actual/ Anticipated
One-on-one meetings				
Public hearings about passing new and better graduated license laws				
Press releases issued				
Letters to the editor written				
PSAs aired				
Advertisements placed				
Materials distributed				
Press conferences held				
Number of media personnel contacted				
Op-ed pieces written				
Other:				
Other:				

### Progress, Problems, & Lessons Learned Regarding Outputs

## Planning Activities

Components	Key Planning Activities	Dates Scheduled to Complete Activity	Actual Date of Completion
Component 1: MEDIA AWARENESS AND ADVOCACY	Gather and update media contact lists.		
	Select dates and places for news conferences planned 1. Have one describing the data collected about the number of youth crashes that occur locally. 2. Have a second news conference if graduated license laws are changed or better enforced.		
	Contact and meet with those who have influence over graduated license laws or who would make useful allies, including: a) The state legislators b) Law enforcement groups c) Insurance agencies d) Elected officials e) Local school officials f) Neighborhood organizations g) Parent and merchant groups		
	Write a news release publicizing the problems that can be caused by unrestricted high-risk youth driving.		
	Work with your local TV stations, radio stations, and newspapers to run PSAs describing the problems that can be caused by unrestricted high-risk youth driving and how graduated license laws can help.		
	Encourage the local paper to run an article about the problems that can be caused by unrestricted high-risk youth driving and how graduated license laws can help.		
	Invite the media to cover the public hearings about passing a new graduated license law.		
	Other:		
	Other:		

### Progress, Problems, & Lessons Learned (i.e., barriers for not completing key activities on time)

## Collaboration Partners

Anticipated Partner	Actual Partner	Anticipated Role	Actual Role

### Progress, Problems, & Lessons Learned Regarding Collaboration

Environmental Strategy: \_\_\_\_\_ Date: \_\_\_\_\_

Name of person completing form: \_\_\_\_\_



**POLICY JOURNAL**

**GRADUATED DRIVERS' LICENSE LAWS**

<b>Graduated License Provisions</b>	<b>Provision in Place? (Y/N)</b>	<b>As of What Date?</b>	<b>Did Your Efforts Lead to This Restriction Being Enacted? If So, How?</b>	<b>Comments</b>
Creation of three stages of driving: learner's permit, intermediate, full licensure				
Minimum age for learner permit is 16				
Learner stage is at least 6 months				
Minimum amount of supervised driving time needed in the learner's permit stage is 30 hours				
Intermediate stage starts at a minimum of 16 and ? years of age				
Bans unsupervised nighttime driving after 9 or 10 p.m. in the intermediate stage				
Bans more than one passenger anytime in the intermediate stage				
Must pass through first two stages free of crashes or convictions for six months prior to applying for the next stage				
Other:				
Other:				

# 7. Social Host Liability Laws

### Research Summary on Social Host Liability Laws:

Social host liability laws state that adults who provide alcohol to minors or those who are obviously intoxicated can be held legally liable if the person is killed or injured, or kills or injures another person.

Social host liability laws have research evidence showing they are effective. In one analysis of all 50 states, social host laws were associated with reductions in heavy drinking as well as drinking and driving (Stout, Sloan, Liang, & Davies, 2000). In another study, these laws were related to decreases in adult alcohol-related traffic deaths across all states for the years 1984-1995 (Whetten-Goldstein, 2000). In addition to the specific research evidence, these laws are based on good theory. Youth often get alcohol at home or from those over 21

who purchase it for them. Social host liability laws may prevent parents and other adults from hosting parties and providing alcohol for underage youth by educating them about the law, sending a message that it is illegal, and providing a significant consequence (i.e. being arrested).

In some states, social host liability is covered under dram shop law. Dram shop liability refers to a drinking establishment's potential financial liability for serving alcohol to an intoxicated or underage person who later causes injury to a third party. However, dram shop law usually only covers commercial service and not individuals. Social host laws vary from state to state. Some state laws may only target those who provide to underage youth whereas others may also extend that to serving those who are intoxicated.

## PLANNING

**It is important to assess whether the state has a social host liability law.** Currently 32 states have such laws. Mothers Against Drunk Driving maintains a current listing of these states at the following website: <http://www.madd.org/laws/>. (You can also track a total of 40 alcohol-related laws at this site.) Whether or not the state has a social host liability law will determine the course of action. If there are social host liability laws already in place, then assess the degree to which they are being enforced. If there is not an ordinance or law in place, mobilization will be needed to get a social host liability law or ordinance passed. This effort could target city, county, or state levels.

**Provide a ready-made social host liability law or ordinance for lawmakers (See Sample Ordinance-- Social Host Liability Laws).** Here are some issues to decide when drafting social host liability laws:

- **Who the law targets** - This has to do with whether the law covers adults who provide alcohol to those who are obviously intoxicated, underage youth, or both. Note: The more target groups covered by the law, the better the law is likely to be.
- **The degree of knowledge that "hosts" must have** - Some laws only hold those adults responsible who "knowingly" allow underage drinking parties in their home.

**Build community support for this strategy** from parent groups, law enforcement, and other community members. Focus public awareness activities in the community and highlight the relationship between easy access to alcohol and increased motor-vehicle crashes and fatalities. There should also be public awareness that when parents or other adults provide alcohol to youth, they are breaking the law and contributing to alcohol-related problems in their community.

The following are different media awareness and advocacy strategies that can be utilized:

- a) Contact a local representative to convince him or her that enacting social host liability laws is a good idea.
- b) Hold individual meetings with those who are in key positions to affect change (e.g., elected officials, community coalitions, law enforcement) and other institutions that are responsible for establishing, maintaining, and enforcing social host liability ordinances.
- c) Inform parents and merchants about the purpose of the social host liability laws and how they can protect youth and the community from alcohol-related problems. Remind merchants that alcohol promotions can lead patrons to drink large amounts of alcohol and, if there is a dram shop law, the establishment could be liable for any damages intoxicated patrons may cause. Also, if there are happy hour restrictions in place, the message could focus on enforcement and the penalties for violating these restrictions.
- d) Hold a press conference describing the data collected about the number of alcohol-related problems that occur in the community. Discuss how implementing social host laws can reduce these alcohol-related problems.
- e) Work with local media outlets to air PSAs describing the problems caused by adults providing alcohol to minors and how social host liability laws can help reduce these problems including underage drinking and driving.
- f) Write letters to the editor about the problems caused by adults providing alcohol to minors and how social host liability laws can help.
- g) Try to get media coverage of the problem. Stage a rally or an event in or near an area where there are, or have been, a large number of parent-hosted parties

where alcohol is available (e.g., during prom or graduation times).

h) Issue press releases highlighting key activities and important events such as public hearings on social host laws.

i) Write an “Op-Ed” piece. See FACE ([www.faceproject.org](http://www.faceproject.org)) for a sample Op-Ed piece and instructions.

j) Ensure that the coalition members are available to be interviewed and educate all members about the data on underage drinking and how adults providing alcohol to minors contribute to this problem.

### **Arguments for Social Host Liability laws that can be used in the media awareness and advocacy:**

- Many youth get alcohol from older adults (e.g., siblings, parents) and from homes (e.g., parties). Social host liability laws try to prevent this by encouraging adults to think twice before purchasing kegs and allowing underage youth to drink in their homes.
- Many parents feel that, by hosting parties in their home, they are keeping their youth safe; however, significant problems can still arise at these parties (e.g., a youth leaves a party drunk and starts driving, sexual assaults, alcohol poisoning, etc.).
- Youth who gain experience with alcohol at these parties may continue to use alcohol in other locations away from parental supervision.
- Adults who illegally provide alcohol to underage youth may be deterred only if they believe they will face legal or financial consequences for providing alcohol to those under 21.

### **Tools for Planning, Implementation and Evaluation:**

In this example, there are several tools that can be customized and utilized in the community to help plan, implement, and evaluate social host liability laws.

- **Social Host Liability Laws Planning Tool**
- **Social Host Liability Laws Implementation Tool**
- **Social Host Liability Outcome Evaluation Tool (Appendix N)**
- **Sample Ordinance—Social Host Liability Laws**

### **Social Host Liability Laws Planning Tool**

The Social Host Liability Laws Planning Tool helps plan the primary component to this strategy: media awareness and advocacy to promote the passage and enforcement of social host liability laws.

**Identifying Anticipated Outputs.** Outputs are the direct products of the strategy’s components and usually are measured in terms of work accomplished (e.g., number of meetings with lawmakers, number of merchants visited to gain support, etc.). Outputs indicate whether the strategy is going in the direction that was intended. The Social Host Liability Laws Planning Tool already has several anticipated outputs listed that will be important to track. It may be necessary to add others.

**Planning Each Component.** Document the major activities that need to be completed in order to be successful in imple-

menting the media awareness and advocacy efforts. It is important to list each of these activities since this is where detailed action steps will occur. We have specified activities that are useful in planning the media awareness and advocacy efforts. For each activity, consider the important planning elements:

- **Scheduled dates.** When will the activities occur? By deciding upon the approximate dates for the completion of each activity, a timeline will emerge. Use these dates to assess if the proposed activities are being implemented in a timely fashion.
- **Who will be responsible?** Before implementation, decide who will be responsible for each activity. Will it be staff of the coalition, volunteers, members of community agencies?
- **Resources needed.** Consider what resources are needed for each activity. This may be financial resources as well as specific supplies. Do any materials need to be purchased? Will they be donated?
- **Location.** Determine where to hold the various activities.

**Collaboration Partners.** In this section, identify the collaborative partners and their roles in the effort. Collaboration, including the development of additional community partnerships, is an integral part of any media advocacy effort to promote the passage and enforcement of social host liability laws.

**Implementation Barriers.** Local laws and ordinances are difficult to change. It is helpful to forecast what the challenges or barriers might be and to generate possible solutions for them. The Social Host Liability Laws Planning Tool has prompts when considering the potential barriers and space to generate solutions to those barriers. There may be additional barriers encountered that the coalition should add to the Planning Tool. Although the solutions may not be currently known, the Planning Tool can be updated at any time.

## **PROCESS EVALUATION**

A process evaluation assesses what activities were implemented, the quality of the implementation, and the strengths and weaknesses of the implementation. This information can help to strengthen and improve a strategy over time.

### **Social Host Liability Laws Implementation Tool**

The Social Host Liability Laws Implementation Tool is designed to assess several aspects of implementation, including whether the media awareness and advocacy were implemented according to the plan. Information from the Social Host Liability Laws Planning Tool is transferred to the subsequent sections of the Social Host Liability Laws Implementation Tool. Although all parts of the Planning Tool should be referred to periodically, the Implementation Tool should be used all of the time. 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 Component Outputs

In this part of the Implementation Tool, dates of each proposed activity and their anticipated output (as stated in the Planning Tool) are recorded in the appropriate column. Later, after each activity is implemented, the actual outputs for each component are recorded. The anticipated output can be expressed as the %Output. This number represents a comparison of the anticipated outputs and actual outputs. Dividing the actual output by the anticipated output and multiplying that number by 100 produces the %Output.

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

For example, if 50 individual meetings with lawmakers were planned, use the Implementation Tool to record the number of meetings actually held. If only 30 meetings were held, the %Output would be 60% ( $30/50 \times 100 = 60\%$ ). The Implementation Tool is designed to be flexible. The level of information recorded will vary depending on the particular environmental strategy. In some cases, it may be most efficient to record data on a day-by-day basis. In other cases, it may be most efficient to present data by summing up information over weeks or months.

**Component.** In this column, list the name of the component as stated in the Planning Tool. The main component, media advocacy to promote social host liability laws, is already completed.

**Date.** In the “date” column, describe the time period that the information in that row represents. As stated above, data may be aggregated across different time spans. The type of date(s) recorded here may vary.

**Implemented as Planned?** The third column asks for a consideration of how well the components were implemented. Rate the implementation as “high”, “medium”, or “low”. If the implementation of the activity was very close to or exactly like it was planned, the rating would be “high”. If, for whatever reason, major changes occurred during the implementation (e.g., certain barriers or practical considerations made it necessary to change the plan), a rating of “low” would be appropriate.

**Anticipated Output(s).** In the fourth column, place the anticipated output(s) that were listed in the Planning Tool.

**Actual Output(s).** The actual output(s) are listed in this column. If, for example, the coalition planned to meet with 50 lawmakers but only met with 30, 50 meetings would be the “anticipated output” and 30 meetings would be the “actual output”.

**%Output Actual/Anticipated.** Divide the actual output by the anticipated output and multiply by 100. Place that number in this column.

**Progress, Problems, and Lessons Learned.** Successes, challenges, barriers, changes to the media advocacy strategy, and

other lessons learned with regard to activities should be recorded in this column.

## Planning Activities

The Implementation Tool monitors whether the tasks in the plan were completed in a timely fashion.

**Components, Key Planning Activities, Dates Scheduled to Complete Activity.** The specific component, the corresponding planning activity, and dates by which the activity was to be completed should be taken from the Planning Tool and reprinted here.

**Actual Date of Completion.** The date that the planning activity is actually completed should be entered here.

**Progress, Problems, and Lessons Learned.** Successes, challenges, barriers, changes to the media advocacy strategy and other lessons learned with regard to the completion of planning activities should be recorded under “Progress, Problems, and Lessons Learned”.

## Collaboration Partners

In this part of the Implementation Tool, address the extent to which the media advocacy efforts to pass a social host liability law achieved the expected collaboration. There are three columns of information in this part:

**Anticipated Partner/Anticipated Role.** The anticipated partners are identified in the Planning Tool. Collaboration partners and their roles are copied into the anticipated partners and anticipated roles sections, respectively.

**Actual Partner/Actual Role.** In these columns, differences between the actual and anticipated partners and roles identified in the plan are documented. Agencies or organizations that became partners after the strategy was initiated or after the plan was submitted may be identified here. When an anticipated partner does not collaborate as expected, this should be documented here and explained in greater detail under “Progress, Problems, and Lessons Learned”.

**Progress, Problems, and Lessons Learned.** Successes, challenges, barriers, changes to the activities and other lessons learned with regard to the collaboration partners should be recorded under “Progress, Problems, and Lessons Learned”.

## Progress, Problems, and Lessons Learned

For each part of the Implementation Tool, space is provided under “Progress, Problems, and Lessons Learned” to document the successes and challenges experienced during the implementation of the media advocacy efforts to promote social host liability laws. Documenting and reviewing the progress, problems, and lessons learned on a regular basis helps to track ways that the media advocacy plan might be adjusted to meet the needs of participants. Recording the successes and challenges is helpful for at least two reasons.

- Looking for barriers, obstacles, and challenges to the media advocacy plan allows for the opportunity to make improvements.
- Recording challenges and successes helps to avoid pitfalls in future implementation of the media advocacy efforts.

There are two issues to be considered in the “Progress, Problems, and Lessons Learned” section. The first has to do with specific aspects of what went well and not so well during implementation. The second involves thoughtful consideration of areas in need of attention. How often these questions are addressed will vary, but it is important to ask these questions frequently and to keep a written record of any changes that need to be made. For example, when doing media advocacy, evidence may indicate that the number of parents being informed about social host liability laws is much less than what was planned. As a result, it may be useful to reconsider some of the activities (e.g., which media outlets would best reach parents about the social host liability laws) and then to make necessary changes to ensure that a larger number of parents are encouraged not to provide alcohol to their underage youth.

### Meeting Contact Form (Appendix M)

One-on-one meetings with key community stakeholders who have responsibility for enacting and/or enforcing social host liability laws are important aspects of the media advocacy efforts. It will be important to document decisions made during these meetings. Using the Meeting Contact Form, it is possible to track the name and contact information, attitude toward underage drinking and social host liability laws, goals and objectives for the meeting (and which were met), and follow-up actions that need to be taken.

### Social Host Liability Laws Policy Journal

Patterned after the Policy Journal used in Communities Mobilizing for Change on Alcohol (CMCA; Wagenaar et al., 1999), the Policy Journal is designed to help track the coalition’s impact on the local laws and ordinances that govern social host liability. For example, it will be important to document when each of the following policies were enacted:

- Making it illegal for adults to provide alcohol to minors and hold them liable for any injuries or damages that may result.
- Making it illegal for adults to provide alcohol to anyone who is intoxicated and hold them liable for any injuries or damages that may result.

Each time any type of liability policy is enacted, write a brief summary of what the exact policy change is using the Social Host Liability Laws Policy Journal. Record the following:

- Date of journal entry.*
- Geographical area in question.* Is it an entire city? A neighborhood?
- Current law/ordinance/policy that governs liability.* Summarize the original law/ordinance/policy.

- What change was made?* What is the new law/ordinance/policy? It could be as simple as promises from law enforcement to step up enforcement of existing laws.
- What body/council made the change?* It could be the city council, state legislature, or the Department of Alcoholic Beverage Control (ABC).
- Date change goes into effect.*
- How did the coalition’s efforts lead to this change?* Summarize how the group’s actions caused the above changes.
- Comments.* Any narrative to further explain the change in law.

Over time, the information collected in this Policy Journal will be useful when looking at longer-term outcomes, such as rates of underage drinking arrests, and motor vehicle crashes involving alcohol.

## OUTCOME EVALUATION

### What should be measured?

Evaluation data showing the effectiveness of social host liability laws can come from many sources, including objective data (e.g., archival data) and subjective data (e.g., self-reported surveys). The following are examples of objective data that might be good outcomes to track as a result of the social host liability laws:

- Rates of youth DUI arrests
- Rates of alcohol-related crime
- Motor-vehicle crashes
- Alcohol-related injuries
- Youth fatalities in traffic accidents
- Rate of adults arrested for providing alcohol to youth
- Rates of adults arrested for violating social host liability laws

This type of data could be gathered from the state or local police department, the local health department, and the Mothers Against Drunk Driving organization. In addition, there is a web system called the Fatality Analysis Reporting System (FARS) organized by NHTSA ([www-fars.nhtsa.dot.gov](http://www-fars.nhtsa.dot.gov)) that allows users to access crash data online. Its database can be queried to produce reports at the state, county, or city level.

Subjective data that could be collected from a survey (e.g., parents, youth) include:

- Attitudes toward social host liability laws
- Awareness of social host liability laws
- Support for social host liability laws
- Place of last drink on a DUI arrest form

## SOCIAL HOST LIABILITY LAWS OUTCOME EVALUATION TOOL

It is important for communities to have various types of information about the strategies documented. The Outcome Evaluation Tool is designed to organize the following information:

- **Summary of the needs and resources assessments:** Briefly summarize the results of the needs and resources assessments.
- **The target group (including numbers):** Briefly state who the target population is (e.g., parents, policymakers, etc.) and how many were reached.
- **Desired Outcomes:** This information is available from the Accountability Question – Goals.
- **Measures used:** Document what measure(s) were chosen.
- **Design chosen:** Document which evaluation design was utilized.
- **Number of people who were measured in the evaluation:** How many completed the evaluation? (Skip this section if the only method was a review of archival data.)
- **Data analysis method:** How were the data analyzed?
- **Pre and Post scores and their differences (if applicable):** Calculate the post score minus pre score for each participant to obtain the “difference” score between the two. Then take an average of all those “difference” scores.
- **Interpretation of the results:** What interpretations can be made when all of the data are considered together?

Using the Outcome Evaluation Tool in this way can also assist when writing reports for various constituencies, including funders.

## REFERENCES AND OTHER RESOURCES

- Communities Mobilizing for Change on Alcohol: SAMHSA Model Program.* Substance Abuse and Mental Health Services Administration, 2001. Available at <http://modelprograms.samhsa.gov>, or by calling SAMHSA at 1-877-773-8546.
- Jones-Webb, R., Toomey, T., Miner, K., Wagenaar, A., Wolfson, M., & Poon, R. (1997). Why and in what context adolescents obtain alcohol from adults: A pilot study. *Substance Use & Misuse*, (2), 219-228.
- Wagenaar, A., Toomey, T., Murray, D., Short, B., Wolfson, M., Jones-Webb, R. (1996). Sources of alcohol for underage drinkers. *Journal of Studies on Alcohol*, 57(3), 325-333.
- Goldberg, J. (1992). Social host liability for serving alcohol. *Trial*, 331-333.

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- Whetten-Goldstein, K., Sloan, F., Stout, E., & Liang, L. (2000). Civil liability, criminal law, and other policies and alcohol-related motor vehicle fatalities in the United States: 1984-1995. *Accident Analysis and Prevention*, 32, 723-733.

Environmental Strategy: \_\_\_\_\_ Date \_\_\_\_\_

Name of person completing form: \_\_\_\_\_



**PLANNING TOOL**

**SOCIAL HOST LIABILITY**

**Summary**

Briefly provide the title and summary for this environmental strategy.

**Title:**

**Summary:**

**Components**

The primary component for a social host liability law is the efforts used in the media to promote the passage and enforcement of the social host laws.

**Identifying Anticipated Outputs**

What outputs will show that the activities were implemented as intended? Outputs are the direct products of activities and usually are measured in terms of work accomplished.

Component	Actions Taken	Anticipated Output(s): How many...
Component 1: MEDIA AWARENESS AND ADVOCACY	One-on-one meetings	__meetings
	Public hearings about passing a social host liability law	__hearings
	Press releases issued	__releases, __media outlets
	Letters to the editor written	__letter, __newspapers
	PSAs aired	
	Advertisements placed	
	Materials distributed	
	Press conferences held	
	Number of media personnel contacted	
	Other:	
	Other:	

## Planning each component

Each component needs to be planned. Consider all of the activities that need to be completed in order to make each component successful. Each component is made of several key activities.

### Component 1: Media Awareness and Advocacy

Specify Key Activities	Scheduled Dates	Who Is Responsible?	Resources Needed/ Materials to Be Provided	Location
Gather and update media contact lists.				
Select dates and places for any news conferences planned: 1. Have one describing the data collected about alcohol-related problems especially those relating to adults providing alcohol to minors. 2. Have a second news conference if social host liability laws are changed or better enforced.				
Contact and meet with those responsible for establishing, maintaining, and enforcing social host liability laws including a) The state office which regulates alcohol sales licenses, b) The local police department c) The local planning department d) Elected officials e) Parents and merchant groups f) Alcohol policy organizations g) Organizations influenced by alcohol availability, such as neighborhood organizations				
Write a news release publicizing the problems that can be caused when adults provide alcohol to minors.				
Work with local TV stations, radio stations, & newspapers to run PSAs describing the problems that can be caused when adults provide alcohol to minors and how social host liability laws can help reduce these problems.				
Mail a letter to the editors of local newspapers regarding the problems that can be caused when adults provide alcohol to minors and how social host liability laws can help reduce these problems.				
Invite the media to cover the public hearings about passing a new social host liability law				
Other:				
Other:				

## Collaboration Partners

Who are the collaboration partners for the social host strategy and what are their intended roles?

Collaboration Partner	Role of Partner

## Potential Barrier and Solutions

Passing and enforcing social host liability laws can be difficult. It is helpful to forecast what these challenges or barriers might be and to generate possible solutions for them. In the table below, common barriers are listed. The group can add others in the spaces provided and generate proposed solutions to each barrier.

Potential Barriers	Potential Solutions
Some states have Supreme Court decisions that prohibit lawsuits by third parties where the alcohol was served by social hosts.	Your coalition should consider sponsoring legislation to provide for third party liability for social hosts who serve those who are underage.  Other solutions:
Parents may oppose such legislation, arguing that it is unfair to prosecute parents for providing alcohol to their own children.	In most states, under social host liability laws, parents cannot be sued for legally serving alcohol to their own children- parents can only be sued for serving children other than their own. In addition, a national survey showed that 83% of adults are in favor of laws that impose fines on adults who provide alcohol to those who are underage.  Other solutions:
Parents may also oppose such a law because it may seem unfair to prosecute parents when they are not aware of or give permission for their children to have parties in their home.	Social liability laws usually apply to parents who fail to take adequate precautions to prevent underage drinking on their property and can be held liable for negligence. Some social host liability laws only hold those adults responsible who “knowingly” allow underage drinking parties in their home.  Other solutions:
It may be difficult to enforce a law against hosts who provide alcohol to underage or intoxicated persons unless the person is caught destroying property or causing injury to themselves or others.	It is important to take steps to identify and intervene in situations where people may be providing alcohol to youth or those who are intoxicated. For example, police can routinely patrol alcohol outlets to prevent the transfer of alcohol from adults to underage youth outside of these establishments, and flyers can be distributed at liquor stores to educate buyers about the legal liability for providing alcohol to youth or intoxicated individuals.  Other solutions:
Other:	Other:



## Summary Checklist

What must be done to prepare for this strategy? Indicate “Y” (Yes), “N” (No), or “NA” (Not applicable) regarding the tasks below. Have these tasks/activities been sufficiently addressed?

CHECKLIST ITEM		If no, plan for completion	By when?
Component 1: Social Host Liability			
Y/N/NA	Resources obtained		
	Person responsible		
	Staff trained		
	Duties assigned		
	Location identified		
	Timeline written		
	Collaborative partners identified		
	Program materials developed		
	Barriers considered		
	Other:		
	Other:		



## Planning Activities

Components	Key Planning Activities	Dates Scheduled to Complete Activity	Actual Date of Completion
Component 1: MEDIA AWARENESS AND ADVOCACY	Gather and update media contact lists.		
	Select dates and places for news conferences planned <ol style="list-style-type: none"> <li>1. Have one describing the data collected about drinking and driving and other problems associated with providing alcohol to minors.</li> <li>2. Have a second news conference if social host liability laws are passed or better enforced.</li> </ol>		
	Contact and meet with those responsible for establishing, maintaining, and enforcing social host liability laws including: <ol style="list-style-type: none"> <li>a) The state office which regulates laws relating to alcohol sales</li> <li>b) The local police department</li> <li>c) The local planning department</li> <li>d) Parents and merchant groups</li> <li>e) Elected officials</li> <li>f) Alcohol policy organizations</li> <li>g) Organizations influenced by alcohol availability, such as neighborhood organizations</li> </ol>		
	Work with local TV stations, radio stations, and newspapers to run PSAs describing the problems that can be caused by underage access to alcohol.		
	Encourage the local paper to run an article about the problems that can be caused by underage access to alcohol and how social host liability law can help.		
	Invite the media to cover the public hearings about passing social host liability laws.		
	Other:		
	Other:		

### Progress, Problems, & Lessons Learned (i.e., barriers for not completing key activities on time)

## Collaboration Partners

Anticipated Partner	Actual Partner	Anticipated Role	Actual Role

### Progress, Problems, & Lessons Learned Regarding Collaboration

# **SOCIAL HOST LIABILITY LAWS**

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## **SUMMARY**

The proposed ordinance holds adults responsible for underage drinking at parties on their property or on premises under their control. This ordinance applies to parties at hotels and motels, as well as at private homes, in meeting rooms or other rented facilities.

This ordinance is based on a Farmington Hills, MI Ordinance §80.455.

## **SECTION 1. Definitions**

**“Adult”** - A person 18 years of age or older.

**“Alcoholic Beverage”** - Any beverage containing more than one-half of one percent alcohol by volume.

**“Residence or Premises”**- A hotel or motel room, home, yard, apartment, condominium, or other dwelling unit, or a hall, meeting room or other place of assembly, whether occupied on a temporary or permanent basis, whether occupied as a dwelling or specifically for social functions, and whether owned, leased, rented or used with or without compensation.

**“Open House Assembly”** - A social gathering of three (3) or more persons at a residence, other than the owner or those with rights of possession or their immediate family members.

**“Control”** - Any form of regulation or dominion including a possessory right.

## **SECTION 2. Prohibition**

1. No adult having control of any residence or premises shall allow an open house assembly to take place or continue at this residence or premises if:

a. at the open house assembly any person under the age of twenty-one (21) years possesses or consumes any alcoholic beverage, in violation of Minnesota Statute section 340A.503,

b. the adult knows or reasonably should know that a person under the age of twenty-one (21) years will or does possess or consume any alcoholic beverage at the open house assembly, in violation of Minnesota Statute section 340A.503, and

2. the adult fails to take reasonable steps to prevent the possession or consumption of the alcoholic beverage by such persons under the age of twenty-one (21) years in violation of Minnesota Statute section 340A.503.

## **SECTION 3. Presence of Adult**

Whenever an adult having control of a residence or premises is present in that residence or premises at the time of the violation of Section 2, it shall be prima facie evidence that such person knew of this violation.

## **SECTION 4. Protected Activities.**

The provisions of this section shall not apply to legally protected religious observances.

## **SECTION 5. Repealer.**

All ordinances or parts of ordinances are repealed only to the extent necessary to give this ordinance full force and effect.

## **SECTION 6. Penalties.**

The penalties for violation of this section shall be as follows:

1. For the first violation, a fine not exceeding fifty dollars (\$50).
2. For subsequent violations a fine not less than one hundred dollars (\$100) and not exceeding seven hundred dollars (\$700).

*This ordinance shall take effect immediately.*

## 8. Keg Registration

### Research Summary on Keg Registration:

Beer kegs are a popular source of alcohol at teen parties. Kegs provide a cheap, convenient source of alcohol for youth and are often purchased by friends or relatives over 21. Keg registration policies are viewed as most effective when they are part of a comprehensive plan that includes a myriad of environmental strategies. Several states and numerous local jurisdictions now have keg registration laws and they appear promising. The one published study evaluating the effects of keg registration examined 97 U.S. communities. Results indicated that requiring keg registration lowered traffic-fatal-ity rates (Cohen, Mason, & Scribner, 2002). Communities are varied in how they implement keg registration policies. Two documented cases are provided:

1. In Billings, Montana, a keg registration ordinance was passed by the City Council in June, 2002. A year-long process to get the ordinance passed was led

by a group called Montanans United Saving Lives. The ordinance requires permanent marking on each keg that identifies where and when it was purchased. Other communities, including Bozeman, Montana are looking to Billings for direction on the best mechanisms for keg registration.

2. A different form of keg registration was passed in Madison, Wisconsin, in December, 2001. The City Council passed an ordinance that requires keg delivery requests be made in person at the store. The buyer must show two forms of ID at the store and be present at the delivery address to sign a receipt upon delivery. Records of all keg purchases are required to be kept by the stores for two years. Interestingly, none of the liquor store owners expressed opposition to the new regulations, suggesting that the new law does not interfere with regular business operations.

## PLANNING

### Determine whether the state has a keg registration law.

Currently 25 states have them. Mothers Against Drunk Driving maintains a current listing of these states at the following website: <http://www.madd.org/laws/> (A total of 40 alcohol-related laws can also be tracked at this site.). If there are keg registration ordinances/laws in place, assess the degree to which they are being enforced. If not, mobilization will be needed to ensure such restrictions or ordinances are passed. This effort could target the city, county, or state levels.

### Provide a ready-made keg registration ordinance or law for lawmakers (See Sample Keg Registration Ordinance).

When developing a keg registration ordinance or law, make sure to consider these three key issues:

- **Definition of a keg** - This has to do with the minimum number of gallons a keg must hold to require registration. Currently, states with keg registration laws vary from 2 to 16 gallons. Rhode Island does not specify the number of gallons needed to constitute a keg. *The smaller the amount of beer that can be required by law for registration, the more comprehensive the law will be.*
- **Buyer information** - All states that require keg registration require that the buyer provide his or her name or signature on the registration form. Sixteen states require that the buyer show some type of identification; 8 states allow the use of a driver's license, and 2 states allow the use of car registration information. In addition, 4 states require that the buyer specify where the keg will be consumed. *The more information required of the buyer, the more effective the law is likely to be.*

- **Type of identification label** - In most states with keg registration, the local Alcohol Beverage Control (ABC) agency will either issue forms to be used to track sales and register buyers or they will specify the documentation to be gathered. In 3 states, the ABC department or agency must approve the form used by those who sell kegs.

There are other important issues to consider such as:

- The length of time the keg buyer's information is kept by the retailer.
- The deposit for the keg (many communities have increased the keg deposit to offset the cost of implementing this strategy).
- The penalty for removing the tag.
- The penalty for not returning the keg.
- Whether the keg buyers would also be required to sign a statement promising not to serve alcohol to underage individuals.

**Further considerations for implementation.** If keg registration is only required in one small geographic area, customers who want to buy a keg for underage youth could go to a neighboring community that does not have keg registration. For this reason, keg registration may work best if it covers a large geographic area.

**Build community support for this strategy** from merchants, law enforcement and other community members. Focus public awareness activities in the community and highlight the relationship between access to kegs of beer and the rate/type

of youth alcohol-related problems. There should also be public awareness that when kegs are registered and easily tracked, law enforcement can better enforce underage drinking laws.

The following are different media awareness and advocacy strategies that can be utilized:

- a. Contact a local representative to convince him or her that enacting a keg registration law or ordinance is a good idea.
- b. Hold individual meetings with those who are in key positions to affect change (e.g., elected officials, alcohol policy organizations, merchants/beer industry)
- c. Hold a press conference describing the data about the number of alcohol-related problems that occur in the community. Discuss how implementing keg registration laws can reduce these alcohol-related problems.
- d. Work with local media outlets to air PSAs describing the problems caused by the large quantities of beer made available by kegs and how registration can help reduce access to alcohol by youth.
- e. Write letters to the editor about the problem caused by the large quantities of beer made available by kegs and potential solutions (i.e., registration of kegs) being proposed.
- f. Try to get media coverage of the problem. Stage a rally or an event in or near an area where kegs are sold or often used (e.g., college campuses).
- g. Issue press releases highlighting key activities and important events, such as public hearings on a potential keg registration law or ordinance.
- h. Write an “Op-Ed” piece. See FACE ([www.faceproject.org](http://www.faceproject.org)) for a sample Op-Ed piece and instructions.
- i. Ensure that the coalition members are available to be interviewed and educate all members about the data on underage drinking and how kegs of beer that are easily accessible contribute to this problem.

#### **Arguments for Keg Registration that can be used in media awareness and advocacy:**

- Kegs of beer are often a main source of alcohol at teenage parties. In addition, kegs may encourage drinking greater quantities of beer, increasing the risk of driving under the influence of alcohol, and other alcohol-related problems.
- When police arrive at underage keg parties, people often scatter. Without keg tagging, there is no way to trace those responsible for furnishing the keg.
- Adults who illegally provide alcohol to underage youth may be deterred only if they believe they will face legal or financial consequences for providing alcohol to those under 21. Keg registration encourages adults to think twice before purchasing kegs for underage alcohol use.
- Keg registration holds liable adults who buy beer kegs for underage youth. Establishments that legally sell alcohol to adults and follow correct keg registration procedures are not breaking the law and should not be held liable.

- Alcohol in cans and bottles is generally not as cheap as keg beer, so the potential for youth drinking as much or more alcohol in cans or bottles is not likely. In fact, research indicates that youth tend to drink less alcohol when prices go up. Furthermore, it may be more difficult for youth to get beer in cans and bottles than it is for them to get beer from a keg.

#### **Tools for Planning, Implementation and Evaluation:**

In this example, there are six tools that can be customized and utilized in the community to help plan, implement, and evaluate keg registration.

- **Keg Registration Planning Tool**
- **Keg Registration Implementation Tool**
- **Keg Registration Outcome Evaluation Tool (Appendix N)**
- **Sample Keg Registration Ordinance**

#### **KEG REGISTRATION PLANNING TOOL**

The Keg Registration Planning Tool will help plan the primary component to this strategy: media awareness and advocacy to promote the passage and enforcement of a keg registration law.

**Identifying Anticipated Outputs.** Outputs are the direct products of the strategy’s components and usually are measured in terms of work accomplished. Outputs indicate whether the strategy is going in the direction that was intended. The Keg Registration Planning Tool already has several anticipated outputs listed that will be important to track over time. It may be necessary to add others.

**Planning Each Component.** Document the major activities that need to be completed in order to be successful in implementing the media advocacy efforts to promote a keg registration law. It is important to list each of these activities since this is where detailed action steps will occur. We have specified activities that are useful in planning the media advocacy in the Keg Registration Planning Tool. For every activity, consider the important planning elements:

- **Scheduled dates.** When will the activities occur? By deciding upon the approximate dates for the completion of each activity, a timeline will emerge. Use these dates to assess if the proposed activities are being implemented in a timely fashion.
- **Who will be responsible?** Before implementation, decide who will be responsible for each activity. Will it be staff of the coalition, volunteers, members of community agencies?
- **Resources needed.** Consider what resources are needed for each activity. This may be financial resources as well as specific supplies? Will they be donated?
- **Location.** Determine where to hold the various activities.

**Collaboration Partners.** In this section, identify the collaborative partners and their roles in the effort. Collaboration, including the development of additional community partnerships, is

an integral part of any media advocacy effort to pass and/or enforce a keg registration law.

**Implementation Barriers.** Local laws and ordinances are difficult to change. It is helpful to forecast what the challenges or barriers might be and to generate possible solutions for them. The Keg Registration Planning Tool has prompts when considering the potential barriers and space to generate solutions to those barriers. There may be additional barriers encountered that the coalition should add to the Planning Tool. Although the solutions may not be currently known, the Planning Tool can be updated at any time.

## PROCESS EVALUATION

A process evaluation assesses what activities were implemented, the quality of the implementation, and the strengths and weaknesses of the implementation. This information can help to strengthen and improve the strategy over time.

### KEG REGISTRATION IMPLEMENTATION TOOL

The Keg Registration Implementation Tool is designed to assess several aspects of implementation, including whether the media awareness and advocacy was implemented according to the plan. Information from the Keg Registration Planning Tool is transferred to the subsequent sections of the Keg Registration Implementation Tool. Although all parts of the Planning Tool should be referred to periodically, the Implementation Tool should be used all of the time. 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 Component Outputs

In this part of the Implementation Tool, dates of each proposed activity and their anticipated output (as stated in the Planning Tool) are recorded in the appropriate column. Later, after each activity is implemented, the actual outputs for each component are recorded. The anticipated output can be expressed as the %Output. This number represents a comparison of the anticipated outputs and actual outputs. Dividing the actual output by the anticipated output and multiplying that number by 100 produces the %Output.

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

For example, if 50 individual meetings with lawmakers were planned, use the Implementation Tool to record the number of meetings planned. If only 30 meetings with lawmakers were held, the %Output would be 60% ( $30/50 \times 100 = 60\%$ ). The Implementation Tool is designed to be flexible. The level of information recorded will vary depending on the particular environmental strategy. In some cases, it may be most efficient to record data on a day-by-day basis. In other cases, it may be most efficient to present data by summing up information over weeks or months.

**Component.** In this column, list the name of the component as stated in the Planning Tool. The main component, media awareness and advocacy to pass and/or enforce a keg registration law is already completed.

**Date.** In the “date” column, describe the time period that the information in that row represents. As stated above, data may be aggregated across different time spans. The type of date(s) recorded here may vary.

**Implemented as Planned?** The third column asks for a consideration of how well the components were implemented. Rate the implementation as “high”, “medium”, or “low”. If the implementation of the activity was very close to or exactly like it was planned, the rating would be “high”. If, for whatever reason, major changes occurred during the implementation (e.g., certain barriers or practical considerations made it necessary to change the design), a rating of “low” would be appropriate.

**Anticipated Output(s).** In the fourth column, place the anticipated output(s) that were listed in the Planning Tool.

**Actual Output(s).** The actual output(s) are listed in this column. If, for example, the coalition planned to meet with 50 lawmakers but only met with 30, 50 meetings would be the “anticipated output” and 30 meetings would be the “actual output”.

**%Output Actual/Anticipated.** Divide the actual output by the anticipated output and multiply by 100. Place that number in this column.

**Progress, Problems, and Lessons Learned.** Successes, challenges, barriers, changes to the media awareness and advocacy strategy, and other lessons learned with regard to activities should be recorded in this column.

### Planning Activities

The Implementation Tool monitors whether the tasks in the plan were completed in a timely fashion.

**Components, Key Planning Activities, Dates Scheduled to Complete Activity.** The specific component, the corresponding planning activity, and dates by which the activity was to be completed should be taken from the Planning Tool and reprinted here.

**Actual Date of Completion.** The date that the planning activity is actually completed should be entered here.

**Progress, Problems, and Lessons Learned.** Successes, challenges, barriers, changes to the media awareness and advocacy plan and other lessons learned with regard to the completion of planning activities should be recorded under “Progress, Problems, and Lessons Learned”.

### Collaboration Partners

In this part of the Implementation Tool, address the extent to which the media awareness and advocacy strategy achieved the

expected collaboration. There are three sections of information in this part:

**Anticipated Partner/Anticipated Role.** The anticipated partners are identified in the Planning Tool. Collaboration partners and their roles are copied into the anticipated partners and anticipated roles sections, respectively.

**Actual Partner/Actual Role.** In these columns, differences between the actual and anticipated partners and roles identified in the plan are documented. Agencies or organizations that became partners after the strategy was initiated or after the plan was submitted may be identified here. When an anticipated partner does not collaborate as expected, this should be documented here and explained in greater detail under “Progress, Problems, and Lessons Learned”.

**Progress, Problems, and Lessons Learned.** Successes, challenges, barriers, changes to the activities and other lessons learned with regard to the collaboration partners should be recorded under “Progress, Problems, and Lessons Learned”.

### Progress, Problems, and Lessons Learned

For each part of the Implementation Tool, space is provided under “Progress, Problems, and Lessons Learned” to document the successes and challenges experienced during the implementation of the media advocacy plans. Documenting and reviewing the progress, problems, and lessons learned on a regular basis helps to track ways that the media advocacy plan might be adjusted to meet the needs of participants. Recording the successes and challenges is helpful for at least two reasons.

- Looking for barriers, obstacles, and challenges to the media advocacy plan allows for the opportunity to make improvements.
- Recording challenges and successes helps to avoid pitfalls in future implementation of the media advocacy efforts.

There are two issues to be considered in the “Progress, Problems, and Lessons Learned” section. The first has to do with specific aspects of what went well and not so well during implementation. The second involves thoughtful consideration of areas in need of attention. How often these questions are addressed may vary, but it is important to ask these questions frequently and to keep a written record of any changes that need to be made. For example, when doing media advocacy, evidence may indicate that the number of parents being reached are much less than what was planned. As a result, it may be useful to reconsider some of the activities (e.g., which media outlets would best reach parents) and then to make necessary changes to ensure that a larger number of parents are encouraged to support and/or enforce a keg registration law.

### Meeting Contact Form (Appendix M)

One-on-one meetings with key community stakeholders who have responsibility for enacting and/or enforcing a keg registration law are important aspects of the media advocacy

efforts. It will be important to document these meetings. Using the Meeting Contact Form, it is possible to track the name and contact information, attitude toward underage drinking and keg registration, goals and objectives for the meeting (and which were met), and follow-up actions that need to be taken.

### Keg Registration Policy Journal

Patterned after the Policy Journal used in Communities Mobilizing for Change on Alcohol (CMCA; Wagenaar et al., 1999), the Keg Registration Policy Journal is designed to help track the coalition’s impact on the local laws and ordinances that govern the use of kegs. For example, it will be important to document when each of the following policies were enacted:

- Requiring buyers to give personal information to alcohol sellers so that law enforcement can determine who is responsible for providing alcohol to minors (if necessary).
- Requiring buyers to sign a statement saying they will not provide beer to minors.
- Requiring buyers to provide the location where the keg will be used.

Not all keg registration laws require these elements. It may be that after an initial law is passed, the coalition can advocate for these elements as future amendments.

Each time one of these policies is enacted, write a brief summary of what the exact policy change is using the Keg Registration Policy Journal. Record the following:

- *Date of journal entry.*
- *Geographical area in question.* Is it an entire city? A neighborhood?
- *Current law/ordinance/policy that the sale of kegs.* Summarize the original law/ordinance/policy.
- *What change was made?* What is the new law/ordinance/policy? It could be as simple as promises from law enforcement to step up enforcement of existing laws.
- *What body/council made the change?* It could be the city council, state legislature, or the department of alcoholic beverage control (ABC).
- *Date change goes into effect.*
- *How did the coalition’s efforts lead to this change?* Summarize how the group’s actions caused the above changes.

Over time, the information collected in this Policy Journal will be useful when looking at longer-term outcomes, such as rates of underage drinking and youth DUI arrests.

## OUTCOME EVALUATION

### What should be measured?

Evaluation data for seeing how keg registration laws worked can come from many sources, including objective data (e.g., archival data) and subjective data (e.g., self-reported surveys).

The following are examples of objective data that might be good outcomes to track as a result of keg registration laws.

- Rates of alcohol-related crimes and other problems (e.g., youth alcohol-related crashes) in the targeted area
- Rates of youth DUI
- Youth fatalities in traffic accidents
- Rates of adults arrested for serving alcohol to youth via kegs of beer

This type of data could be gathered from the state or local police department, the local health department, and the Mothers Against Drunk Driving organization. In addition, there is a web system called the Fatality Analysis Reporting System (FARS) organized by NHTSA ([www-fars.nhtsa.dot.gov](http://www-fars.nhtsa.dot.gov)) that allows users to access motor-vehicle crash data online. Its database can be queried to produce reports at the state, county, or city level.

Subjective data that could be collected from a survey (e.g., youth, parents and other adults) include:

- Attitudes toward keg registration laws
- Awareness of keg registration laws
- Merchant support for keg registration laws
- Place of last drink on a DUI arrest form

#### KEG REGISTRATION OUTCOME EVALUATION TOOL

It is important for communities to have various types of information about the strategies documented. The Outcome Evaluation Tool is designed to organize the following information:

- **Summary of the needs and resources assessments:** Briefly summarize the results of the needs and resources assessments.
- **The target group (including numbers):** Briefly state who the target population is (e.g., merchants, policymakers, etc.), and how many were reached.
- **Desired Outcomes:** This information is available from the Accountability Question - Goals.
- **Measures used:** Document what measure(s) were chosen.
- **Design chosen:** Document which evaluation design was utilized.
- **Number of people who were measured in the evaluation:** How many completed the evaluation? (Skip this section if the only method was a review of archival data.)
- **Data analysis method:** How were the data analyzed?
- **Pre and Post scores and their difference (if applicable):** Calculate the post score minus pre score for each participant to obtain the “difference” score between the two. Then take an average of all those “difference” scores.
- **Interpretation of the results:** What interpretations can be made when all of the data are considered together?

Using the Outcome Evaluation Tool in this way can also assist when writing reports for various constituencies, including funders.

#### REFERENCES AND OTHER RESOURCES

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- Hammond, R.L. (1991). Capping keggers: New tracking system aims at curbing illegal sales. *The Bottom Line on Alcohol in Society*, 11(4), 36–38.
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- Wagenaar, A.C., Finnegan, J.R., Wolfson, M., Anstine, P.S., Williams, C.L., Perry, C.L. (1993). “Where and How Adolescents Obtain Alcoholic Beverages.” *Public Health Reports*, 108(4), 459–464.
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- Webb, J. (2002 July 8). “Local Leaders Win Community Support Cracking Down on Kegs.” *The Billings Gazette* (Billings, MT).

Environmental Strategy: \_\_\_\_\_ Date \_\_\_\_\_

Name of person completing form: \_\_\_\_\_



**PLANNING TOOL**

# Keg Registration

## Summary

Briefly provide the title and summary for this environmental strategy.

**Title:**

**Summary:**

## Components

The primary component for keg registration is the efforts used in the media to promote the passage and enforcement of a keg registration law.

## Identifying Anticipated Outputs

What outputs will show that the activities were implemented as intended? Outputs are the direct products of activities and usually are measured in terms of work accomplished.

Component	Actions Taken	Anticipated Output(s): How many...
Component 1: MEDIA AWARENESS AND ADVOCACY	One-on-one meetings	__meetings
	Public hearings about passing a keg registration law	__hearings
	Press releases issued	__releases, __media outlets
	Letters to the editor written	__letter, __newspapers
	PSAs aired	
	Advertisements placed	
	Materials distributed	
	Press conferences held	
	Number of media personnel contacted	
	Other:	

## Planning each component

Each component needs to be planned. Consider all of the activities that need to be completed in order to make each component successful. Each component includes several key activities.

### Component 1: Media Awareness and Advocacy

Specify Key Activities	Scheduled Dates	Who Is Responsible?	Resources Needed/ Materials to Be Provided	Location
Gather and update media contact lists.				
Select dates and places for any news conferences planned: 1. Have one describing the data collected about alcohol-related problems especially those relating to parties involving kegs of beer. 2. Have a second news conference if keg registration laws are changed or better enforced.				
Contact and meet with those responsible for establishing, maintaining, and enforcing keg registration laws including a) The state office which regulates alcohol sales licenses, b) The local police department c) The local planning department d) Elected officials e) Parent and merchant groups f) Alcohol policy organizations g) Organizations influenced by alcohol availability, such as neighborhood organizations				
Write a news release publicizing the problems that can be caused by parties where kegs of beer are provided.				
Work with local TV stations, radio stations, & newspapers to run PSAs describing the problems that can be caused when kegs of beer are provided and how keg registration can help.				
Mail a letter to the editors of local newspapers regarding the problems that can be caused when kegs of beer are provided and how registration can help.				
Invite the media to cover the public hearings about passing a new keg registration law.				
Other:				
Other:				

## Collaboration Partners

Who are the collaboration partners for the keg registration strategy and what are their intended roles?

Collaboration Partner	Role of Partner

### Potential Barrier and Solutions

Passing and enforcing key registration laws can be difficult. It is helpful to forecast what these challenges or barriers might be and to generate possible solutions for them. In the table below, common barriers are listed. The group can add others in the spaces provided and generate proposed solutions to each barrier.

Potential Barriers	Potential Solutions
There may be strong opposition from beer wholesalers and retailers who may feel they are targeted by this policy.	It will be important to work with beer wholesalers from the beginning to inform them that keg registration does not penalize the beer industry or retailers. Rather, it is a policy to penalize adults who buy beer for underage youth. In this way, retailers can actually be less liable for underage drinking with a keg registration system in place. Also, by supporting keg registration, the industry becomes part of the solution to the underage drinking problem.
There may be opposition from retailers who fear they will lose business if keg purchasers buy beer in neighboring communities that don't have keg registration policies.	Inform retailers that customers who do not intend to supply beer to underage persons will not avoid purchasing kegs at a store that has keg registration.
Retailers may think that keg registration is too costly and time-consuming.	Communities can pay for keg tagging through various methods, such as licensing fees. In addition, the tags are not expensive. Estimates range between \$75-\$170 for 1000 keg labels depending on quality.  Keg registration is not likely to be time consuming because most retailers already record the name and address of keg purchasers
Community members may oppose keg registration.	A national survey of adults showed that over 60% of respondents were in favor of keg registration laws (Wagenaar, et al. 2000).
Buyers can choose to forfeit the deposit fee and remove the keg identification tag, thereby preventing police from tracing the keg.	Keg deposits can be increased. Many communities have increased the keg deposit to \$50.00 or more.  Require keg identification markers that are either difficult to detect (such as invisible ink) or hard to remove.



## Summary Checklist

What must be done to prepare for this strategy? Indicate “Y” (Yes), “N” (No), or “NA” (Not applicable) regarding the tasks below. Have these tasks/activities been sufficiently addressed?

CHECKLIST ITEM		If no, plan for completion	By when?
Component 1: Media Awareness and Advocacy			
Y/N/NA	Resources obtained		
	Person responsible		
	Staff trained		
	Duties assigned		
	Location identified		
	Timeline written		
	Collaborative partners identified		
	Program materials developed		
	Barriers considered		
	Other:		
	Other:		

Environmental Strategy: \_\_\_\_\_ Date: \_\_\_\_\_

Name of person completing form: \_\_\_\_\_



**IMPLEMENTATION TOOL**

# KEG REGISTRATION

## Monitoring Component Outputs

### Component 1: Media Awareness and Advocacy

Output	Implemented. as Planned? (High, Medium, Low, No)	Anticipated Output(s)	Actual Output(s)	% Output Actual/ Anticipated
One-on-one meetings				
Public hearings about passing a keg registration law				
Press releases issued				
Letters to the editor written				
PSAs aired				
Advertisements placed				
Materials distributed				
Press conferences held				
Number of media personnel contacted				
Other:				
Other:				

### Progress, Problems, & Lessons Learned Regarding Outputs

## Planning Activities

Components	Key Planning Activities	Dates Scheduled to Complete Activity	Actual Date of Completion
Component 1: MEDIA AWARENESS AND ADVOCACY	Gather and update media contact lists.		
	Select dates and places for news conferences planned: 1. Have one describing the data collected about the problems when kegs of beer are furnished to youth at parties or other occasions. 2. Have a second news conference if keg registration laws are passed or better enforced.		
	Contact and meet with those responsible for establishing, maintaining, and enforcing laws related to key registration and other issues of access to alcohol by youth including: a) The state office which regulates laws relating to alcohol sales b) The local police department c) The local planning department d) Parents and merchant groups e) Beer industry and other relevant businesses f) Elected officials g) Alcohol policy organizations h) Organizations influenced by alcohol availability, such as neighborhood organizations		
	Work with local TV stations, radio stations, & newspapers to run PSAs describing the problems that can be caused when kegs of beer are available to youth and how keg registration can help.		
	Mail a letter to the editors of local newspapers regarding the problems that can be caused when kegs of beer are available to youth and how keg registration can help.		
	Invite the media to cover the public hearings about passing a new keg registration law.		
	Other:		
	Other:		

### Progress, Problems, & Lessons Learned (i.e., barriers for not completing key activities on time)

## Collaboration Partners

Anticipated Partner	Actual Partner	Anticipated Role	Actual Role

## Progress, Problems, & Lessons Learned Regarding Collaboration

# KEG REGISTRATION

## SUMMARY

The proposed keg registration ordinance requires retailers to mark beer kegs with unique identification numbers which they must record, along with the keg purchaser's name. In addition, the ordinance requires an increased deposit on beer kegs. Keg purchasers must also sign a sworn document which states that they will not supply alcohol to underage individuals. This ordinance is based on Washington State Statute §§66.28.200-230.

## SECTION 1. Definitions

For the purpose of this ordinance, the following definitions shall apply:

**"Intoxicating Liquor"** - Ethyl alcohol, distilled, fermented, spirituous, vinous and malt beverages containing more than 3.2 percent of alcohol by weight.

**"Kegs"** - Containers designed for and capable of holding intoxicating or non-intoxicating malt liquor to be dispensed from a tapper.

**"Malt Liquor"** - Any beer, ale, or other beverage made from malt by fermentation and containing not less than one-half of one percent alcohol by volume.

**"Non-intoxicating Liquor"** - Malt liquor containing not less than one-half of one percent alcohol by volume nor more than 3.2 percent alcohol by weight.

**"Off-sale"** - The sale of alcoholic beverages in original packages for consumption off the licensed premises only.

## SECTION 2. Duties of Seller

1. Licensees holding an off-sale intoxicating liquor license or non-intoxicating malt liquor license may sell malt liquor in kegs or other containers capable of holding four (4) gallons or more of liquid. Licensees shall not sell more than sixteen (16) gallons of malt liquor in kegs or other containers capable of holding four (4) gallons or more of liquid to any individual purchaser, not licensed under Minnesota Statute chapter 340A, within a twenty-four (24) hour period. Any person who sells or offers for sale the contents of kegs or other containers containing four (4) gallons or more of malt liquor, or leases kegs or other containers that will hold four (4) gallons or more of malt liquor, to consumers who are not licensed under chapter 340A of the Minnesota Statutes shall do the following for each sales transaction involving the keg or other container:

1. Require the purchaser of the malt liquor to sign a declaration and receipt for the keg or other container in substantially the form provided for in Section (4) of this ordinance;
2. Require the purchaser to provide one piece of identification pursuant to Minnesota Statute section 340A.503(6);

3. Require the purchaser to sign a sworn statement on the declaration, under penalty of perjury, that:

a) The purchaser is of legal age to purchase, possess, or use malt liquor;

b) The purchaser will not allow any person under the age of twenty-one (21) years to consume the beverage in violation of Minnesota Statute section 340A.503(2);

c) The purchaser will not remove, obliterate, or allow to be removed or obliterated, the identification required under this ordinance to be affixed to the containers.

4. Require the purchaser to state the particular address where the malt liquor will be consumed, or the particular address where the keg or other container will be physically located;

5. Inform the purchaser of his/her duty to maintain a copy of the declaration next to or adjacent to the keg or other container, in no event at a distance greater than five (5) feet, and visible without a physical barrier from the keg, during the time that the keg or other container is in the purchaser's possession or control;

6. Affix identification to the kegs in accordance with the rules authorized under Section (4) of this ordinance;

7. Retain copies of the receipt and declaration on the licensed site for a period of six (6) months following the transaction, and shall make it available to any law enforcement officer or member of the municipal licensing authority upon request;

8. Collect from the purchaser a deposit of the amount specified in the rules authorized under Section 4 of this ordinance, which shall be not less than seventy-five dollars (\$75). The licensee shall refund this deposit to the purchaser upon return to the licensee, within six (6) months of purchase, of the keg or other container with the identification required by the municipal licensing authority intact and affixed to the keg or other container. The licensee shall not refund the deposit to the purchaser if the identification has been removed or obliterated at any time after the initial sales transaction with the purchaser and before the return of the keg or other container to the licensee. All deposits forfeited shall be remitted, less a reasonable handling fee, to the municipal licensing authority with a copy of the receipt and declaration made in the transactions involved.

### **SECTION 3. *Duties of Purchaser***

Any person who purchases the contents of kegs or other containers containing four (4) gallons or more of malt liquor, or purchases or leases the container shall:

1. Provide one piece of identification pursuant to Minnesota Statute section 340A.503(6);
2. Be of legal age to purchase, possess, or use malt liquor;
3. Pay a deposit of the amount specified in the rules authorized under section (4) of this ordinance to the licensee, to be refunded upon the return of the keg or other container, within six (6) months of purchase, with the identification required by the municipal licensing authority intact and affixed to the keg or other container;
4. Sign a receipt for the keg or other container or beverage in substantially the form provided in this ordinance;
5. Sign a declaration for the keg or other container or beverage in substantially the form provided in this ordinance;
6. Not allow any person under the age of twenty-one (21) to consume the beverage, except as provided by Minnesota Statute section 340A.503(2);
7. Not remove, obliterate, or allow to be removed or obliterated, the identification required under rules adopted by the municipal licensing authority;
8. Not move, keep, or store the keg or its contents, except for transporting to and from the distributor, at any place other than that particular address declared on the receipt and declaration; and
9. Maintain a copy of the declaration next to or adjacent to the keg or other container, in no event at a distance greater than five (5) feet, and visible without a physical barrier from the keg, during the time that the keg or other container is in the purchaser's possession or control.

Falsifying any information requested on the declaration or receipt shall constitute a violation of this ordinance.

### **SECTION 4. *Identification of Containers, Rules***

1. The City Council shall adopt all rules necessary for the implementation of this ordinance, including rules requiring retail licensees to affix appropriate identification on all containers of four gallons or more of malt liquor for the purpose of tracing the purchasers of such containers.
2. The City Council shall develop and make available forms for the declaration and receipt required by this ordinance. The Council may charge for the costs of providing the forms and that money collected for the form shall be deposited into the liquor revolving fund for use by the Council, without further appropriation, to continue to administer the cost of the keg registration program.
3. It is unlawful for any person to sell or offer for sale kegs or other containers containing four (4) gallons or more of malt liquor to consumers who are not licensed under Minnesota statute chap-

ter 340A, if the kegs or containers are not identified in compliance with rules adopted by the municipal licensing authority.

### **SECTION 5. *Penalties***

1. Except as provided in (b) of this section, the violation of any provisions of Sections (1) through (4) of this ordinance is punishable
  - a) for the first violation, by a fine of not more than five hundred (500) dollars;
  - b) for the second violation, by a fine of not less than five hundred dollars (\$500) and not more than seven hundred dollars (\$700).
2. A person who intentionally furnishes a keg or other container containing four (4) or more gallons of malt liquor to a minor shall be punished:
  - a) for the first violation, a fine of not less than three hundred dollars (\$300) and not more than seven hundred dollars (\$700) ;
  - b) for subsequent violations, a fine of not less than seven hundred dollars (\$700) and not more than two thousand dollars (\$2,000).
  - c)

This ordinance shall take effect within \_\_\_\_\_ days.

## 9. Restricting Sales of Alcohol at Public Events

### Research Summary on Restricting Sales of Alcohol at Public Events:

Alcohol restrictions at community events include policies that control the availability and use of alcohol at public events, such as concerts, street fairs, and sporting games. Restrictions can be voluntarily or mandated by local legislation. There is some evidence to show that these restrictions may reduce alcohol-related problems, such as traffic crashes, vandalism, fighting, and other public disturbances.

In the mid '90s, the administration of the University of Arizona formed an Alcohol Policy Committee with representation from diverse stakeholders to address the issue of alcohol-related problems at the university's football games (Johannessen, Glider, Collins, Hueston, & DeJong, 2001).

In collaboration with campus police, the committee banned alcohol advertising and sponsorships, mandated that tailgating tents hire bartenders who were trained, required liability insurance for tent owners, banned the display or consumption of alcohol on parade floats, and used the local media to publicize, and the police to strongly enforce all of the above policies. The results indicated reduced availability of alcohol, elimination of beer kegs, more food and non-alcoholic drinks, greater presence of bartenders, and fewer complaints from the surrounding neighborhoods. Cohen et al. (2002) found that 97 cities across the United States, which banned alcohol consumption in public places and had more restrictions at sporting events, experienced less alcohol-related traffic fatalities.

## PLANNING

**Determine whether the community has restrictions or ordinances related to the sale of alcohol at public events.** If there are such restrictions in place, then the following actions should occur:

- Gather information about any problems associated with specific public events; such as, community festivals, sporting events, and public events: contact police department, licensing agency, managers of facilities, security personnel, event coordinators and business and property owners near the event to gather information.
- Evaluate the strengths, weaknesses, and enforcement of existing alcohol control policies for community and other public events.

If there are no restrictions or ordinances in place, mobilize to ensure the passage and enforcement of restrictions or ordinances. This effort could target the county, city, or a specific public event.

Address the sale of alcohol at public events using the following strategies:

- 1) Restrict the issuance of licenses at youth and family-related community events.
- 2) Restrict or prohibit alcohol sponsorship for community events.
- 3) Ban the sale of alcohol at events and locations popular with underage youth.
- 4) Enforce strict conditions for alcohol sales and consumption at events in order to reduce youth access, including one or more of the following:
  - a. Designate restricted drinking sections at special events where young people are not allowed.
  - b. Ban attendants/participants in community events from bringing alcohol.

- a. Require responsible beverage service management policies and training for workers at public events and require that alcohol servers be at least 21 years of age.
  - d. Limit the cup size and servings of alcohol per person.
  - e. Have alcohol-free nights and/or days at community events.
  - f. Use cups for alcoholic beverages that are easily distinguishable from non-alcoholic beverage cups.
  - g. Stop serving alcohol at least one hour before closing.
  - h. Sell food and non-alcoholic drinks and provide free water.
- 5) Prohibit open containers in unsupervised public locations.
  - 6) Enforce alcohol restrictions vigorously for both public events and public places, maintaining the seriousness of these regulations.
  - 7) Establish standard procedures for dealing with intoxicated persons in public areas and at community events.
  - 8) For private parties in public places, require permits contingent on strict stipulations and responsible beverage service guidelines.

**Build community support for this strategy** from event organizers, law enforcement and other community members. Focus public awareness activities in the community and highlight the relationship between unrestricted sales of alcohol at public events in the community and the rate/type of alcohol-related problems.

The following are different media awareness and advocacy strategies that can be utilized to restrict sales of alcohol at public events:

- a. Contact a local representative to convince him or her that passing restrictions on the use of alcohol at public events is a good idea.
- b. Hold individual meetings with those who are in key positions to affect change (e.g., elected officials, alcohol policy organizations, and insurance companies).
- c. Inform the organizers of community/sporting events that having well-trained servers and adhering to enforcement strategies may reduce legal and civil liabilities.
- d. Hold a press conference describing the data collected about the number of alcohol-related problems that occur in the community and how unrestricted sales of alcohol at public events contribute to the problem.
- e. Work with local media outlets to air PSAs describing the problems caused by unrestricted sales of alcohol at public events and how such restrictions can help reduce these problems.
- f. Write letters to event organizers or sponsors of the public event describing the problems caused by unrestricted sales of alcohol at public events and how restrictions can help reduce these problems.
- g. Try to get media coverage of the problem. Stage a rally or an event in or near the public event that is selling alcohol with minimal or no enforcement.
- h. Issue press releases highlighting key activities and important events, such as public hearings on potential alcohol restrictions at public events.
- i. Write an “Op-Ed” piece. See FACE ([www.faceproject.org](http://www.faceproject.org)) for a sample Op-Ed piece and instructions.
- j. Ensure that the coalition members are available to be interviewed and educate all members about the data on underage drinking and how unrestricted sale of alcohol at public events contributes to this problem.

**Arguments for Restrictions on Alcohol Sales at public events that can be used in the media awareness and advocacy efforts:**

- Underage youth can easily get alcohol at community events by buying it directly or by having friends over 21 buy it for them.
- Individuals who are already intoxicated can easily continue to get alcohol at festivals and sporting events.
- Alcohol use at community and sporting events may cause fighting and other forms of disruptive behavior among patrons and fans.
- Alcohol consumption at community events may increase the risk of alcohol-impaired patrons driving after an event.

**Tools for Planning, Implementation and Evaluation:**

In this example, there are several tools that can be customized and utilized to help plan, implement, and evaluate strategies to restrict access at public events.

- **Restricting Sales of Alcohol at Public Events Planning Tool**

- **Restricting Sales of Alcohol at Public Events Implementation Tool**
- **Restricting Sales of Alcohol at Public Events Outcome Evaluation Tool (Appendix N)**
- **Restricting Sale of Alcohol at Public Events Assessment Tool**
- **Sample Letters**

**RESTRICTING SALES OF ALCOHOL AT PUBLIC EVENTS PLANNING TOOL**

The Restricting Sales of Alcohol at Public Events Planning Tool will help plan the primary component to this strategy: media awareness and advocacy efforts to promote restrictions on the sales of alcohol at public events.

*Identifying Anticipated Outputs.* Outputs are the direct products of a strategy’s components and usually are measured in terms of work accomplished (e.g., number of meetings with event organizers, number of servers trained in Responsible Beverage Service). Outputs indicate whether the strategy is going in the direction that was intended. The Restricting Sales of Alcohol at Public Events Planning Tool already has several anticipated outputs listed that will be important to track over time. It may be necessary to add others.

*Planning Each Component.* Document the major activities that need to be completed in order to be successful in the media awareness and advocacy efforts to promote restrictions on the sale of alcohol at public events. It is important to list each of these activities since this is where detailed action steps will occur. We have specified activities that are useful in promoting restrictions on the sale of alcohol at public events in the Restricting Sales of Alcohol at Public Events Planning Tool. For every activity, consider the important planning elements:

- *Scheduled dates.* When will the activities occur? By deciding upon the approximate dates for the completion of each activity, a timeline will emerge. Use these dates to assess if the proposed activities are being implemented in a timely fashion.
- *Who will be responsible?* Before implementation, decide who will be responsible for each activity. Will it be staff of the coalition, volunteers, members of community agencies?
- *Resources needed.* Consider what resources are needed for each activity. This may be financial resources as well as specific supplies. Do any materials need to be purchased? Will they be donated?
- *Location.* Determine where to hold the various activities.

*Collaboration Partners.* In this section, identify the collaborative partners and their roles in the effort. Collaboration, including the development of additional community partnerships, is an integral part of any effort to pass restrictions on the sale of alcohol at public events.

*Implementation Barriers.* Community events (e.g., university football games) may have operated the same way for years and

passing restrictions on alcohol sales can be difficult. It is helpful to forecast what the challenges or barriers might be and to generate possible solutions for them. The Restricting Sales of Alcohol at Public Events Planning Tool has prompts when considering the potential barriers and space to generate solutions to those barriers. There may be additional barriers encountered that the coalition should add to the Planning Tool. Although the solutions may not be currently known, the Planning Tool can be updated at any time.

## PROCESS EVALUATION

A process evaluation assesses what activities were implemented, the quality of the implementation, and the strengths and weaknesses of the implementation. This information can help to strengthen and improve the strategy over time.

### RESTRICTING SALES OF ALCOHOL AT PUBLIC EVENTS IMPLEMENTATION TOOL

The Restricting Sales of Alcohol at Public Events Implementation Tool is designed to assess several aspects of implementation, including whether the media awareness and advocacy efforts were implemented according to the plan. Information from the Restricting Sales of Alcohol at Public Events Planning Tool is transferred to the subsequent sections of the Restricting Sales of Alcohol at Public Events Implementation Tool. Although all parts of the Planning Tool should be referred to periodically, the Implementation Tool should be used all of the time. 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 Component Outputs

In this part of the Implementation Tool, dates of each proposed activity and their anticipated output (as stated in the Planning Tool) are recorded in the appropriate column. Later, after each activity is implemented, the actual outputs for each component are recorded. The anticipated output can be expressed as the %Output. This number represents a comparison of the anticipated outputs and actual outputs. Dividing the actual output by the anticipated output and multiplying that number by 100 produces the %Output.

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

For example, if 50 individual meetings with event organizers were planned, use the Implementation Tool to record the number of meetings planned. If only 30 meetings were held, the %Output would be 60% ( $30/50 \times 100 = 60\%$ ). The Implementation Tool is designed to be flexible. The level of information recorded will vary depending on the particular environmental strategy. In some cases, it may be most efficient to record data on a day-by-day basis. In other cases, it may be most efficient to present data by summing up information over weeks or months.

**Component.** In this column, list the name of the component as stated in the Planning Tool. The main component, media awareness and advocacy, is already completed.

**Date.** In the “date” column, describe the time period that the information in that row represents. As stated above, data may be aggregated across different time spans. The type of date(s) recorded here may vary.

**Implemented as Planned?** The third column asks for a consideration of how well the components were implemented. Rate the implementation as “high”, “medium”, or “low”. If the implementation of the activity was very close to or exactly like it was planned, the rating would be “high”. If, for whatever reason, major changes occurred during the implementation (e.g., certain barriers or practical considerations made it necessary to change the design), a rating of “low” would be appropriate.

**Anticipated Output(s).** In the fourth column, place the anticipated output(s) that were listed in the Planning Tool.

**Actual Output(s).** The actual output(s) are listed in this column. If, for example, the coalition planned to meet with 50 event organizers but only met with 30, 50 meetings would be the “anticipated output” and 30 meetings would be the “actual output”.

**%Output Actual/Anticipated.** Divide the actual output by the anticipated output and multiply by 100. Place that number in this column.

**Progress, Problems, and Lessons Learned.** Successes, challenges, barriers, changes to the media awareness and advocacy strategy, and other lessons learned with regard to activities should be recorded in this column.

#### Planning Activities

The Implementation Tool monitors whether the tasks in the plan were completed in a timely fashion.

**Components, Key Planning Activities, Dates Scheduled to Complete Activity.** The specific component, the corresponding planning activity, and dates by which the activity was to be completed should be taken from the Planning Tool and reprinted here.

**Actual Date of Completion.** The date that the planning activity is actually completed should be entered here.

**Progress, Problems, and Lessons Learned.** Successes, challenges, barriers, changes to the media awareness and advocacy plan and other lessons learned with regard to the completion of planning activities should be recorded under “Progress, Problems, and Lessons Learned”.

#### Collaboration Partners

In this part of the Implementation Tool, address the extent to

which the strategy achieved the expected collaboration. There are three sections of information in this part:

**Anticipated Partner/Anticipated Role.** The anticipated partners are identified in the Planning Tool. Collaboration partners and their roles are copied into the anticipated partners and anticipated roles sections, respectively.

**Actual Partner/Actual Role.** In these columns, differences between the actual and anticipated partners and roles identified in the plan are documented. Agencies or organizations that became partners after the strategy was initiated or after the plan was submitted may be identified here. When an anticipated partner does not collaborate as expected, this should be documented here and explained in greater detail under “Progress, Problems, and Lessons Learned”.

**Progress, Problems, and Lessons Learned.** Successes, challenges, barriers, changes to the activities and other lessons learned with regard to the collaboration partners should be recorded under “Progress, Problems, and Lessons Learned”.

### Progress, Problems, and Lessons Learned

For each part of the Implementation Tool, space is provided under “Progress, Problems, and Lessons Learned” to document the successes and challenges experienced during the implementation of the media awareness and advocacy plan. Documenting and reviewing the progress, problems, and lessons learned on a regular basis helps to track ways that the media awareness and advocacy plan might be adjusted. Recording the successes and challenges is helpful for at least two reasons.

- Looking for barriers, obstacles, and challenges to the media advocacy plan allows for the opportunity to make improvements.
- Recording challenges and successes helps to avoid pitfalls in future implementation of the media advocacy efforts.

There are two issues to be considered in the “Progress, Problems, and Lessons Learned” section. The first has to do with specific aspects of what went well and not so well during implementation. The second involves thoughtful consideration of areas in need of attention. How often these questions are addressed may vary, but it is important to ask these questions frequently and to keep a written record of any changes that need to be made. For example, when implementing a media advocacy strategy, evidence may indicate that convincing event organizers that alcohol restrictions are important is not easy. To ensure that a larger number of event organizers “buy-in” to this strategy, it may be useful to reconsider some of the activities and then to make necessary changes (e.g., invite an event organizer from another area who has successfully used alcohol restrictions to talk with those who are resisting).

## OUTCOME EVALUATION

### What should be measured?

Evaluation data for restricting the sale of alcohol at public events can come from many sources, including objective data (e.g., archival data) and subjective data (e.g., self-reported surveys). The following are examples of objective data that might be good outcomes to track as a result of restricting sales of alcohol at public events.

- Rate of complaints from neighborhoods about the public event.
- The number of event-specific law enforcement actions. This could include verbal warnings for alcohol violations, ejections from sporting events, disorderly conduct and other alcohol-related arrests (e.g., assault, etc).
- Rates of alcohol-related crashes, injuries, and fatalities in traffic accidents. Note: One common indicator used is single vehicle crashes between 8 p.m. and 4 a.m., which is a measure closely related to alcohol-related crashes involving drivers with illegal blood alcohol levels.
- Enforcement of DUI laws.

This type of data could be gathered from the state or local police department, the local health department, and the Mothers Against Drunk Driving organization. In addition, there is a web system called the Fatality Analysis Reporting System (FARS) organized by NHTSA ([www-fars.nhtsa.dot.gov](http://www-fars.nhtsa.dot.gov)) that allows users to access crash data online. Its database can be queried to produce reports at the state, county or city level.

Subjective data that could be collected from a survey (e.g., event organizers, youth, law enforcement) include:

- Knowledge of regulations that govern the sales of alcohol at public events.
- Self-report of underage drinking and drunk driving.
- Perceived likelihood of being caught driving with an illegal blood alcohol level.
- Awareness of impaired driving laws.
- Attitudes toward restrictions on sales of alcohol at public events (e.g., no sale one hour before closing, designated areas for those drinking alcohol, etc).

### RESTRICTING SALES OF ALCOHOL AT PUBLIC EVENTS OUTCOME EVALUATION TOOL

It is important for communities to have various types of information about the strategies documented. The Outcome Evaluation Tool is designed to organize the following information:

- **Summary of the needs and resources assessments:** Briefly summarize the results of the needs and resources assessments.
- **The target group (including numbers):** Briefly state who the target population is (e.g., merchants, policy-makers, etc.), and how many were reached.
- **Desired Outcomes:** This information is available from the Accountability Question - Goals.

- **Measures used:** Document what measure(s) were chosen.
- **Design chosen:** Document which evaluation design was utilized.
- **Number of people who were measured in the evaluation:** How many completed the evaluation? (Skip this section if the only method was a review of archival data.)
- **Data analysis method:** How were the data analyzed?
- **Pre and Post scores and their difference (if applicable):** Calculate the post score minus pre score for each participant to obtain the “difference” score between the two. Then take an average of all those “difference” scores.
- **Interpretation of the results:** What interpretations can be made when all of the data are considered together?

Using the Outcome Evaluation Tool in this way can also assist when writing reports for various constituencies, including funders.

### SALES OF ALCOHOL AT PUBLIC EVENTS POLICY JOURNAL

Patterned after the Policy Journal used in Communities Mobilizing for Change on Alcohol (CMCA; Wagenaar et al., 1999), the Sale of Alcohol at Public Events Policy Journal is designed to help track the coalition’s impact on the local laws and ordinances that govern the sales of alcohol at public events. For example, it will be important to document when each of the following policies are enacted:

- Licenses at youth and family-related community events are restricted.
- Alcohol sponsorship is banned.
- Alcohol sales at locations that are popular with underage youth are banned.
- Alcohol-free sections are created.
- Attendants/participants in community events are banned from bringing alcohol.
- Responsible beverage service (RBS) policies are mandated.
- Alcohol servers are required to be at least 21 years of age.
- Training in RBS for workers at public events is required.
- Cup size and servings of alcohol per person are limited.
- Community events are required to have alcohol free nights and/or days.
- Mandated use of cups for alcoholic beverages that are easily distinguishable from non-alcoholic beverage cups.
- Alcohol is not sold at least one hour before closing the event.
- Food and non-alcoholic drinks are sold and water is provided free of charge.
- Open containers in unsupervised public locations is prohibited.

Each time one of these policies is enacted, write a brief summary of what the exact policy change is using the Restricting Sales of Alcohol at Public Events Policy Journal. Record the following:

- Date of journal entry.
- Geographical area in question. Is it an entire city? A neighborhood?
- What change was made? What is the new law/ordinance/policy? It could be as simple as promises from law enforcement to step up enforcement of existing laws.
- What body/council made the change? In some areas it will be the zoning board, in others it may be the Department of Alcoholic Beverage Control (ABC).
- Date change goes into effect.
- How did the coalition’s efforts lead to this change? Summarize how the group’s actions caused the above changes.
- Comments. Any narrative to further explain the change in the law.

Over time, the information collected in this Policy Journal form will be useful when looking at longer-term outcomes, such as rates of underage drinking and DUI arrests.

### RESTRICTING SALES OF ALCOHOL AT PUBLIC EVENTS ASSESSMENT TOOL

Having restrictions on the sales of alcohol at public events is a great start. However, these restrictions need to be enforced to be effective. The coalition can use this Assessment tool to assess whether restrictions at public events are being enforced. Complete this tool for each event the coalition is interested in targeting and monitoring over time. In addition, we have provided a sample letter that can be customized and sent to event organizers. This form, retrieved from [www.faceproject.org](http://www.faceproject.org) can be adapted to meet local needs.

### REFERENCES AND OTHER RESOURCES

- Bormann, C., Stone, M. (2001). The effects of eliminating alcohol in a college stadium: The Folsom Field beer ban. *Journal of American College Health*, 50(2), 81-88.
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- Cassady, D., Flora, J., & Foote, D. (1987). *Alcohol use at community events: Creating policies to prevent problems*. San Diego Alcohol Program and Applied Communication Technology.
- Cohen, D., Mason, K., & Scribner, R. (2002). The population consumption model, alcohol control practices, and

alcohol-related traffic fatalities. *Preventive Medicine*, 34(2), 187-197.

Johannessen, K., Glider, P., Collins, C., Hueston, H., & DeJong, W. (2001). Preventing alcohol-related problems at the University of Arizona's homecoming: An environmental management case study. *American Journal of Drug & Alcohol Abuse*, 27(3), 587-597.

Toomey, T., Erickson, D., Patrek, W., Fletcher, L., & Wagenaar, A. (2005). Illegal alcohol sales and use of alcohol control policies at community festivals. *Public Health Reports*, 120(2), 165-173.

Wagenaar, A., Harwood, E., Toomey, T., Denk, C., & Zander, K. (2000). Public opinion on alcohol policies in the United States: Results from a national survey. *Journal of Public Health Policy*, 21(3), 303-327.

Environmental Strategy: \_\_\_\_\_ Date \_\_\_\_\_

Name of person completing form: \_\_\_\_\_



## PLANNING TOOL

# RESTRICTING ALCOHOL SALES AT PUBLIC EVENTS

### Summary

Briefly provide the title and summary for this environmental strategy.

Title:

Summary:

### Components

The primary component for restricting alcohol sales at public events is the media awareness and advocacy efforts to promote the passage and enforcement of the restrictions.

### Identifying Anticipated Outputs

What outputs will show that the activities were implemented as intended? Outputs are the direct products of activities and usually are measured in terms of work accomplished.

Component	Actions taken	Anticipated Output(s): How many...
Component 1: MEDIA AWARENESS AND ADVOCACY	Press releases issued	__ releases, __ media outlets
	Letters to the editor written	__ letters, __ papers
	PSAs aired	
	Advertisements placed	
	Materials distributed	
	Press conferences held	
	Number of media personnel contacted	
	Number of event organizers and sponsors contacted about the use of alcohol restrictions	__ organizers, __ sponsors
	Number of meetings with key stakeholders	
	Other:	

## Planning each component

Each component needs to be planned. Here you need to think about all the activities that need to be completed in order to make each component successful. Each component is made of several activities.

<b>Component 1: Media Awareness and Advocacy</b>				
<b>Specify Key Activities</b>	<b>Scheduled Dates</b>	<b>Who Is Responsible?</b>	<b>Resources Needed/ Materials to Be Provided</b>	<b>Location</b>
Gather and update media contact lists.				
Select dates and places for any news conferences planned: 1. Have one describing the data collected about easy access to alcohol by underage youth at public events and related problems. 2. Have a second news conference if restricting alcohol sales at public events becomes a law/ordinance or is better enforced.				
Contact and meet with those responsible for establishing, maintaining, and enforcing restrictions on the public sale of alcohol including: a) The public event organizers and sponsors; b) The state office which regulates alcohol sales licenses; c) The local police department; d) The local planning department; e) Elected officials; f) Alcohol policy organizations; g) Organizations influenced by alcohol availability, such as neighborhood organizations.				
Write a news release publicizing the problems that can be caused by unrestricted sales of alcohol at public events.				
Work with your local TV stations, radio stations, and newspapers to run PSAs describing the problems that can be caused by unrestricted sales of alcohol at public events and how certain restrictions can help.				
Encourage the local paper to run an article about the problems that can be caused by unrestricted sales of alcohol at public events and how certain restrictions can help.				
Mail a letter to the editors of local newspapers regarding the problems that can be caused by unrestricted sales of alcohol at public events and how certain restrictions can help.				
Invite the media to cover the public hearings about passing new alcohol restrictions at public events.				
Other:				
Other:				

## Collaboration Partners

Who are the collaboration partners for restricting the sales of alcohol at public events and what are their intended roles?

Collaboration Partner	Role of Partner

### Potential Barrier and Solutions

Passing and enforcing laws restricting alcohol sales at public events can be difficult. It is helpful to forecast what these challenges or barriers might be and to generate possible solutions for them. In the table below, common barriers are listed. The group can add others in the spaces provided and generate proposed solutions to each barrier.

Potential Barriers	Potential Solutions
Stadium owners and other event organizers may fear that restrictions would reduce participation in events or reduce profits from alcohol sales.	Inform stadium owners and other event organizers that: <ul style="list-style-type: none"> <li>• A national survey of adults showed that over 80% of respondents were in favor of alcohol restrictions at concerts and stadiums.</li> <li>• Many events would not likely lose a significant number of participants even though alcohol sales are restricted</li> <li>• Events with alcohol bans or restrictions could draw more patrons who prefer alcohol-free events.</li> </ul> Other solutions:
Stadium owners and other event organizers may want to voluntarily “police themselves” rather than support local ordinances or laws.	Event organizers can first be asked to voluntarily implement their own alcohol restrictions. However, if the event organizers do not comply, concerned community members may want to pass local ordinances requiring such policies.  Other solutions:
Other:	Other:



## Summary Checklist

What must be done to prepare for this strategy? Indicate “Y” (Yes), “N” (No), or “NA” (Not applicable) regarding the tasks below. Have these tasks/activities been sufficiently addressed?

CHECKLIST ITEM		If no, plan for completion	By when?
Component 1: Media Awareness and Advocacy			
Y/N/NA	Resources obtained		
	Person responsible		
	Staff trained		
	Duties assigned		
	Location identified		
	Timeline written		
	Collaborative partners identified		
	Program materials developed		
	Barriers considered		
	Other:		
	Other:		



## Planning Activities

Components	Key Planning Activities	Dates Scheduled to Complete Activity	Actual Date of Completion
Component 1: MEDIA AWARENESS AND ADVOCACY	Gather and update media contact lists.		
	Select dates and places for news conferences planned: 1. Have one describing the data collected about easy access to alcohol by underage youth at public events and related problems. 2. Have a second news conference if restricting alcohol sales at public events becomes a law/ordinance or is better enforced.		
	Contact and meet with those responsible for establishing, maintaining, and enforcing restrictions on the public sale of alcohol including: a) The public event organizers and sponsors; b) The state office which regulates alcohol sales licenses; c) The local police department; d) The local planning department; e) Elected officials; f) Alcohol policy organizations; and g) Organizations influenced by alcohol availability, such as neighborhood organizations.		
	Write a news release publicizing the problems that can be caused by unrestricted sales of alcohol at public events.		
	Work with your local TV stations, radio stations, and newspapers to run PSAs describing the problems that can be caused by unrestricted sales of alcohol at public events and how certain restrictions can help.		
	Encourage the local paper to run an article about the problems that can be caused by unrestricted sales of alcohol at public events and how certain restrictions can help.		
	Mail a letter to the editors of local newspapers regarding the problems that can be caused by unrestricted sales of alcohol at public events and how certain restrictions can help.		
	Invite the media to cover the public hearings about passing new alcohol restrictions at public events.		
	Other:		
	Other:		

**Progress, Problems, & Lessons Learned (i.e., barriers for not completing key activities on time)**

Empty box for reporting progress, problems, and lessons learned.

**Collaboration Partners**

Anticipated Partner	Actual Partner	Anticipated Role	Actual Role

**Progress, Problems, & Lessons Learned Regarding Collaboration**

Empty box for reporting progress, problems, and lessons learned regarding collaboration.

Environmental Strategy: \_\_\_\_\_ Date \_\_\_\_\_

Name of person completing form: \_\_\_\_\_



**ASSESSMENT TOOL**

# RESTRICTING ALCOHOL SALES AT PUBLIC EVENTS

Alcohol Restriction	Restriction Being Practiced? (Y/N)	Comments
Are there alcohol sponsorships?		
Is alcohol sold?		
Is there an alcohol-free section (if alcohol is allowed)?		
Are participants in community events banned from bringing alcohol?		
Are alcohol servers at least 21?		
Are workers trained in RBS?		
Are cup size and servings of alcohol per person limited?		
Does the event have alcohol-free nights and/or days?		
Are cups for alcoholic beverages easily distinguishable from non-alcoholic beverage cups?		
Is alcohol not sold at least one hour before closing?		
Is food sold?		
Are non-alcoholic drinks sold?		
Is free water is provided?		

# **RESTRICTING ALCOHOL SALES AT PUBLIC EVENTS**

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**NOTE:** Follow the instructions in the opinion section of your local newspaper for submitting a letter to the editor. Most newspapers print these instructions in the opinion-editorial section, or call the newspaper for instructions.

## **ISSUE: Alcohol Sales at Community Events**

Every year, I look forward to our community festivals here in [NAME OF YOUR COMMUNITY]. These events highlight the best that we have to offer in our community. However, I'd like to express my concerns about alcohol sales and the risks of underage drinking at these upcoming events.

It's clear that many aspects of these events are planned very carefully. I would like to encourage all of the sponsoring organizations to give equal thought and effort to preventing underage drinking at these events. Why? Because underage drinking is associated with car crashes, vandalism, assaults, date rape, and many other tragedies. Organizations who sponsor our community events can be held liable for any tragedies that occur as a result of underage drinking at these events.

Let's work together to keep alcohol out of the hands of kids at our community festivals. Event sponsors and organizers can institute a plan to ensure the safe sale of alcohol by implementing the following action steps:

- Locate alcohol sales areas away from all family and children-oriented activities.
- Sell a variety of non-alcoholic beverages as well.
- Limit the hours of alcohol sales.
- Require a photo ID.
- Limit purchases to one cup per person.
- Ensure that the maximum cup size is no more than 12-14 oz.
- Train all server staff in Responsible Alcohol Service.
- Make sure that servers don't drink alcohol.
- Establish a responsible alcohol management plan for the event.
- Inform the community about your responsible alcohol management plan through the newspaper, radio and television interviews leading into the event.
- Place visible signage announcing your alcohol policies at the event.

The actions described above will greatly reduce the risk of underage drinking at this year's events. I hope others will join me as we work together to make this year's summer festivals both fun and safe for all of us.

Sincerely,

Include your name and group name, if applicable

*Source: FACE Truth and Clarity on Alcohol.*

Environmental Strategy: \_\_\_\_\_ Date: \_\_\_\_\_

Name of person completing form: \_\_\_\_\_



**POLICY JOURNAL**

# RESTRICTING ALCOHOL SALES AT PUBLIC EVENTS

Alcohol Restriction	Restriction in Place? (Y/N)	As of What Date?	Geographical Area or Public Event(s) in Question	Did Your Efforts Lead to This Restriction Being Enacted? If So, How?
Licenses at youth and family-related community events are restricted				
Alcohol sponsorship banned				
Alcohol sales at venues popular with underage youth banned				
Alcohol-free sections created				
Attendants/participants in community events banned from bringing alcohol				
RBS policies mandated				
Alcohol servers required to be at least 21				
Training in RBS for workers at public events required				
Cup size and servings of alcohol per person limited				
Community events required to have alcohol free nights and/or days				
Mandated that cups for alcoholic beverages are easily distinguishable from non-alcoholic beverage cups				
Required that alcohol is not sold at least one hour before closing				
Required that food and non-alcoholic drinks are sold and free water is provided				
Open containers in unsupervised public locations prohibited				
Licenses at youth and family-related community events are restricted				
Alcohol sponsorship banned				

# **RESTRICTING ALCOHOL SALES AT PUBLIC EVENTS**

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Date

Include your name, group name and address

To sponsoring organization of community event

Dear [NAME OF ORGANIZATION]:

As our community looks forward to the [NAME OF EVENT], I'd like to express our organization's thoughts and concerns about the possibility of underage drinking and the impact it could have on all of us. I hope you will do everything possible to prevent any underage youth from purchasing or drinking alcohol at this event, especially since you could be held liable for any alcohol-related tragedies that could occur as a result.

Here is a basic alcohol management plan that we hope you will institute at this year's event:

- Locate alcohol sales areas away from all family and children-oriented activities.
- Sell a variety of non-alcoholic beverages as well.
- Limit the hours of alcohol sales.
- Require a photo ID.
- Limit purchases to one cup per person.
- Ensure that the maximum cup size is no more than 12-14 oz.
- Train all server staff in Responsible Beverage Service.
- Make sure that servers don't drink alcohol.
- Establish a responsible alcohol management plan for the event.
- Inform the community about your responsible alcohol management plan through the newspaper, radio and television interviews leading into the event.
- Place visible signage announcing your alcohol policies at the event.

Please feel free to contact me if you have any additional questions about how best to prevent underage drinking at [NAME OF THE EVENT]. I appreciate your consideration of this important issue.

Sincerely,

Include your name and group name here

*Source: FACE Truth and Clarity on Alcohol.*



# 10. Increasing Taxes on the Sale of Alcohol

### Research Summary on Increasing Taxes on Sales of Alcohol:

Like many products, the overall price of alcohol affects how much people will consume, which in turn, affects the level of alcohol-related problems. The primary way to make alcohol more expensive, and therefore discourage consumption, is through increasing taxes on the sales of alcohol. Although somewhat simplified, the more alcohol costs, the less people will drink, thereby reducing alcohol-related problems. Research indicates that higher alcohol taxes lead to reductions in the levels and frequency of drinking and heavy drinking among youth (Coate & Grossman, 1988), lower traffic crash fatality rates (Ruhm, 1996), and reduced incidence of some types of crime (Cook & Moore, 1993). These results

are corroborated by additional researchers (Chaluopka, Grossman, Saffer, 2002).

The National Bureau of Economic Research estimates that the number of youth who drink beer would have declined by 24% if alcohol taxes had kept pace with inflation since 1951 (Grossman et al., 1994). While certain groups may oppose such a tax, several surveys indicate that most Americans support increased taxes on alcohol. In its report released on September 10, 2003, *Reducing Underage Drinking: A Collective Responsibility*, the National Academy of Sciences recommended increasing alcohol excise taxes to curb underage drinking as an effective strategy that has shown consistent and positive results.

## PLANNING

**Determine what the alcohol tax rates are in the state.** The alcohol in distilled spirits, wine, and beer is taxed at different rates at the federal and state levels. On a per-drink basis, liquor is usually taxed at much higher rates. In “control” states, where the state completely manages the sale of liquor and sometimes wine, the tax takes the form of a percentage mark-up on the wholesale price of the product. Thus, these revenues change automatically as inflation pushes up the wholesale price or as competition lowers prices. The manner of collection varies according to state law. Check with the state’s Alcoholic Beverage Control office or revenue department to find out how excise taxes are levied in your state.

Learn what the exact tax rate is in the state. Table 14 below shows the federal and median state taxes as of January 1, 2005. Go to the Alcohol and Tobacco Tax and Trade Bureau for the most up-to-date information about taxes in your state. [http://www.taxadmin.org/fta/rate/tax\\_stru.html](http://www.taxadmin.org/fta/rate/tax_stru.html).

**Table 14. Federal and Median State Alcohol Tax Rates as of January 1, 2005**

PRODUCT		FEDERAL	STATE (MEDIAN)	TOTAL AVG. PER DRINK
Beer	Per Gallon	\$0.58	\$0.19	7¢ per 12 oz. drink
	Single Serving	\$.05 per 12 oz.	\$.02 per 12 oz.	
Wine	Per Gallon	\$1.07	\$0.73	7¢ per 5 oz. drink
	Single Serving	\$.04 per 5 oz.	\$.03 per 5 oz.	
Distilled Spirits	Per Gallon	\$13.50	\$3.75	16¢ per drink (1.5 oz. alcohol)
	Single Serving	\$.12 per 1.5 oz.	\$.04 per 1.5 oz.	

**Prepare a campaign to increase taxes.** After learning the current tax rates and policy in the state, it is time to make preparations to take action. First, decide what the tax rate should be raised to. There are several options that, if adopted, would raise tax rates.

- *Adjust rates for past inflation.* Inflation makes dollars today have less buying power than in years past.

So, if the cost of a product or a tax rate stays the same year after year, the cost of that product or that tax rate would actually fall from year to year in “real” dollars. Therefore, one way to raise taxes is to “catch up” the current rate to what it should be after inflation. To begin this process go to <http://stat.bls.gov/cpi/>. For example, Kentucky last raised its beer tax in 1954 to \$.08. For 1954, the CPI was 26.9. The estimated average CPI for 2005 was 195.3. To find Kentucky’s inflation-adjusted beer tax rate:  $195.3/26.9 \times \$0.08 = \$0.58$ .

- *Index tax rates to account for future inflation.* Table 15 shows the latest federal tax rates and how they are affected by inflation (state taxes are similarly affected). Clearly if alcohol taxes were increased with inflation rates the tax rates would also significantly increase.
- *Increase tax rates to equal those of bordering states/*

**Table 15. Federal Alcohol Taxes Affected by Inflation**

PRODUCT (current tax per gallon)	Actual value in 2004 after inflation	2004 tax rate if it had been indexed to inflation
Beer (\$0.58)	\$0.42	\$0.79
Wine (\$1.07)	\$0.78	\$1.46
Distilled Spirits (\$13.50)	\$9.87	\$18.47

*localities.* Look at the tax rates for neighboring states. If your state has a higher tax rate, propose bringing the state’s rates in line with the neighboring states. Having a tax rate that is in line with other neighboring states will prevent cross-border shopping for less expensive alcohol.

- *Tax alcohol content equally, regardless of beverage type.* Taxing alcoholic beverages based on alcohol content and not amount or fluid volume (the way it is done now) would make the tax on a can of beer, a glass of

wine, and a shot of liquor the same. This would raise the tax rates on beer and wine to the liquor rate, which is usually the highest rate.

The best approach will depend on a variety of factors, including current tax levels, the political situation, and the objectives of the tax increase.

**Compile data and evidence that supports tax increases.** There are several strong arguments to be made, all backed by scientific evidence, for raising alcohol taxes. Below are some of these arguments and their evidence.

- *Scientific evidence that shows increased taxes would reduce underage drinking and its corresponding problems.* Research has shown that higher alcohol taxes lead to reductions in the levels and frequency of heavy drinking among youth, lower traffic crash fatality rates (especially among young drivers), and reduced incidence of some types of crime. Researchers who looked across several studies came to the same conclusions. Researchers at the National Bureau of Economic Research estimate that the number of youth who drink beer would have declined by 24% if alcohol taxes had kept pace with inflation since 1951.

- *Raising alcohol tax rates makes sense economically.* One study estimates the total economic cost of alcohol use by underage drinkers in America amounts to nearly \$53 billion a year (\$29 billion in alcohol-related violent crime costs, over \$19 billion in traffic crashes, and over \$1.5 billion in suicide attempts), while current tax revenue only amounts to about \$7.7 billion. Calculate how much more revenue your state would make at <http://www.cspinet.org/booze/taxguide/TaxCalc.htm>.

- *Taxes are low after adjusting for inflation.* As discussed above, the “real” tax rates have fallen because they have not been adjusted for inflation. In fact, federal excise taxes on alcoholic beverages have increased only once in 54 years for beer and wine and only twice for liquor. Current alcohol-tax revenues (about \$18 billion at the local, state and federal levels) don’t come close to offsetting the staggering public health and safety costs of alcohol consumption, an estimated \$185 billion a year, including \$53 billion a year for the costs of underage drinking. Relative to the Consumer Price Index, the average price of beer has fallen more than 25% and the price of liquor has fallen almost 50% over the past five decades.

- *The majority of Americans supports tax increases.* Polls from 1997, 2002, and 2005 all continue to show that most citizens support increased alcohol taxes of some kind. Even after the last federal tax increase in 1991, several polls in 1992 and 1993 showed strong support for further tax increases (March 1993 Wall Street Journal /NBC News Poll, April 1993 Washington Post / ABC News Poll, May 1993 Gallup Poll).

**Build community support for this strategy** from lawmakers, key stakeholders, and other community members. Focus public awareness activities in the community and highlight the relationship between current tax rates and increased underage drinking and alcohol-related problems; such as motor-vehicle crashes, injuries, and fatalities. There should also be public awareness that when higher taxes are in place, underage drinking and alcohol-related problems decrease.

The following are different media awareness and advocacy strategies that can be utilized to increase the taxes on sales of alcohol:

- a) Contact a local representative to convince him or her that enacting higher alcohol taxes would be a good idea (e.g., raise revenue, decrease alcohol use and related problems).
- b) Hold individual meetings with those who are in key positions to affect change (e.g., elected officials, alcohol policy organizations, etc.).
  - 1) Hold a press conference covering how changes in the alcohol tax rate can address the issue of underage drinking, DUI rates, and alcohol-related crashes, injuries, and fatalities among youth.
- d) Work with local media outlets to air PSAs describing the problems caused by having low alcohol taxes and how higher taxes can help reduce problems associated with this easy access.
- e) Write letters to the editor about the problems caused by having low alcohol taxes and how the potential solutions proposed (i.e., higher taxes) can help.
- f) Try to get media coverage of the problem. Stage a rally or an event in or near an area where there are or have been a large number of DUIs, underage alcohol purchases, or alcohol-related motor accidents (e.g., college campuses and surrounding neighborhoods) to highlight the problems associated with easy access to inexpensive alcohol.
- g) Issue press releases highlighting key activities and important events, such as public hearings on a potential alcohol tax hike.
- h) Write an “Op-Ed” piece. See FACE ([www.faceproject.org](http://www.faceproject.org)) for a sample Op-Ed piece and instructions.
- i) Ensure that the coalition members are available to be interviewed and educate all members about the data on alcohol tax rates, underage drinking, youth crashes, and how having low taxes contributes to these problems.

In addition to using the media, it is important to build community awareness about the problems of low taxes on alcohol. A community “movement” can influence statewide policies. The Center for Science in the Public Interest’s, “Guide to Alcohol Taxes and Health,” lists several ideas:

- Develop fact sheets, brochures, posters, and other informational resources for distribution throughout the community.
- Make presentations to groups of physicians, clergy, law enforcement officers, and citizens’ and fraternal organizations on the need to combat alcohol problems.

- Sponsor poster or writing contests for high school students to help elevate the awareness of how alcohol affects their lives.
- Create a community symbol that dramatizes the cost of alcohol problems (e.g., erect a monument to victims).
- Recruit prominent community members to join in a statement endorsing higher alcohol taxes.
- Post meeting notices at churches, on community bulletin boards, at the public library, in organizational newsletters (neighborhood, parent-teacher, athletic, library association, university faculty club, civic groups, medical associations, community centers, etc.).
- Start a community alcohol-problems discussion group on an Internet bulletin board.
- Ask local clergy to incorporate alcohol issues into their weekly sermons. Provide talking points for the clergy.

#### **Tools for Planning, Implementation and Evaluation:**

In this example, there are several tools that can be customized and utilized in the community to help plan, implement, and evaluate increasing alcohol taxes.

- **Increasing Alcohol Taxes Planning Tool**
- **Increasing Alcohol Taxes Implementation Tool**
- **Increasing Alcohol Taxes Outcome Evaluation Tool (Appendix N)**

#### **INCREASING ALCOHOL TAXES PLANNING TOOL**

The Increasing Alcohol Taxes Planning Tool will help plan the primary component to this strategy: media awareness and advocacy to promote the passage of higher alcohol taxes.

**Identifying Anticipated Outputs.** Outputs are the direct products of a strategy's components and usually are measured in terms of work accomplished (e.g., number of meetings with lawmakers, etc.). Outputs indicate whether the strategy is going in the direction that was intended. The Increasing Alcohol Taxes Planning Tool already has several anticipated outputs listed that would be important to track over time. It may be necessary to add others.

**Planning Each Component.** Document the major activities that need to be completed in order to be successful in implementing the media advocacy efforts. It is important to list each of these activities since this is where detailed action steps will occur. We have specified activities that are useful in planning the media advocacy in the Increasing Alcohol Taxes Planning Tool. For every activity, consider the important planning elements:

- **Scheduled dates.** When will the activities occur? By deciding upon the approximate dates for the completion of each activity, a timeline will emerge. Use these dates to assess if your program is being implemented in a timely fashion.
- **Who will be responsible?** Before implementing a program, decide who will be responsible for each activity. Will it be staff of the coalition, volunteers, or members of community agencies?
- **Resources needed.** Consider what resources are needed for each activity. This may be financial resources as

well as specific supplies. Do any materials need to be purchased? Will they be donated?

- **Location.** Determine where to hold the various activities.

**Collaboration Partners.** In this section, identify the collaborative partners and their roles in the effort. Collaboration, including the development of partnerships in your community, is an integral part of any media advocacy effort.

**Implementation Barriers.** Local laws and ordinances are difficult to change. It is helpful to forecast what the challenges or barriers might be and generate possible solutions for them. The Increasing Alcohol Taxes Planning Tool has prompts when considering the potential barriers and space to generate solutions to those barriers. There may be additional barriers encountered that the coalition should add to the Planning Tool. Although the solutions may not be currently known, the Planning Tool can be updated at any time.

## **PROCESS EVALUATION**

A process evaluation assesses what activities were implemented, the quality of the implementation, and the strengths and weaknesses of the implementation. This information can help to strengthen and improve the strategy over time.

#### **INCREASING ALCOHOL TAXES IMPLEMENTATION TOOL**

The Increasing Alcohol Taxes Implementation Tool is designed to assess several aspects of implementation, including whether the media awareness advocacy was implemented according to the plan. Information from the Increasing Alcohol Taxes Planning Tool is transferred to the subsequent sections of the Increasing Alcohol Taxes Implementation Tool. Although all parts of the Planning Tool should be referred to periodically, the Implementation Tool should be used all of the time. 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 Component Outputs**

In this part of the Implementation Tool, dates of each proposed activity and their anticipated output (as stated in the Planning Tool) are recorded in the appropriate column. Later, after each activity is implemented, the actual outputs for each component are recorded in the appropriate column. The anticipated output can be expressed as the %Output. This number represents a comparison of the anticipated outputs and actual outputs. Dividing the actual output by the anticipated output and multiplying that number by 100 produces the %Output.

For example, if 50 meetings with lawmakers were planned, use the Implementation Tool to record the number of meetings planned. If only 30 meetings were held, the %Output would be 60% ( $30/50 \times 100 = 60\%$ ). The Implementation Tool is designed

to be flexible. The level of information recorded will vary depending on the particular strategy. In some cases, it may be useful to record data on a day-by-day basis. In other cases, it may be most efficient to present data by summing up information over weeks or months.

**Component.** In this column, list the name of the component as stated in the Planning Tool. The main component, media awareness and advocacy, is already completed.

**Date.** In the “date” column, describe the time period that the information in that row represents. As stated above, data may be aggregated across different time spans. The type of date(s) recorded here may vary.

**Implemented as Planned?** The third column asks for a consideration of how well the components were implemented. Rate the implementation as “high”, “medium”, or “low”. If the implementation of the activity was very close to or exactly like it was planned, the rating would be “high”. If, for whatever reason, major changes occurred during the implementation (e.g., certain barriers or practical considerations made it necessary to change the design), a rating of “low” would be appropriate.

**Anticipated Output(s).** In the fourth column, place the anticipated output(s) that were listed in the Planning Tool.

**Actual Output(s).** The actual output(s) are listed in this column. If, for example, the coalition planned to meet with 50 lawmakers but only met with 30, 50 meetings would be the “anticipated output” and 30 meetings would be the “actual output”.

**%Output Actual/Anticipated.** Divide the actual output by the anticipated output and multiply by 100. Place that number in this column.

**Progress, Problems, and Lessons Learned.** Successes, challenges, barriers, changes to the media awareness and advocacy strategy, and other lessons learned with regard to activities should be recorded in this column.

### Planning Activities

The Implementation Tool monitors whether the tasks in the plan were completed in a timely fashion.

**Components, Key Planning Activities, Dates Scheduled to Complete Activity.** The specific component, the corresponding planning activity, and dates by which the activity was to be completed should be taken from the Planning Tool and reprinted here.

**Actual Date of Completion.** The date that the planning activity is actually completed should be entered here.

**Progress, Problems, and Lessons Learned.** Successes, challenges, barriers, changes to the media awareness and advocacy plan and other lessons learned with regard to the completion of plan-

ning activities should be recorded under “Progress, Problems, and Lessons Learned”.

### Collaboration Partners

In this part of the Implementation Tool, address the extent to which the media awareness and advocacy strategy achieved the expected collaboration. There are three sections of information in this part:

**Anticipated Partner/Anticipated Role.** The anticipated partners are identified in the Planning Tool. Collaboration partners and their roles are copied into the anticipated partners and anticipated roles sections, respectively.

**Actual Partner/Actual Role.** In these columns, differences between the actual and anticipated partners and roles identified in the plan are documented. Agencies or organizations that became partners after the strategy was initiated or after the plan was submitted may be identified here. When an anticipated partner does not collaborate as expected, this should be documented here and explained in greater detail under “Progress, Problems, and Lessons Learned”.

**Progress, Problems, and Lessons Learned.** Successes, challenges, barriers, changes to the activities and other lessons learned with regard to the collaboration partners should be recorded under “Progress, Problems, and Lessons Learned”.

### Progress, Problems, and Lessons Learned

For each part of the Implementation Tool, space is provided under “Progress, Problems, and Lessons Learned” to document the successes and challenges experienced during the implementation of the media advocacy plans. Documenting and reviewing the progress, problems, and lessons learned on a regular basis helps to track ways that the media advocacy plan might be adjusted to meet the needs of participants. Recording the successes and challenges is helpful for at least two reasons.

- Looking for barriers, obstacles, and challenges to the media advocacy plan allows for the opportunity to make improvements.
- Recording challenges and successes helps to avoid pitfalls in future implementation of the media advocacy efforts.

There are two issues to be considered in the “Progress, Problems, and Lessons Learned” section. The first has to do with specific aspects of what went well and not so well during implementation. The second involves thoughtful consideration of areas in need of attention. How often these questions are addressed will vary, but it is important to ask these questions frequently and to keep a written record of how these questions are addressed. For example, when doing media advocacy, evidence may indicate that the community is unaware of the effects of increased taxes on alcohol use by youth. As a result, it may be useful to reconsider some of the activities (e.g., which media outlets would best reach parents) and then to make necessary changes to ensure that a larger number of parents are encouraged to advocate for higher alcohol taxes.

# OUTCOME EVALUATION

## What should be measured?

Evaluation data on how increased alcohol taxes work can come from many sources, including objective data (e.g., archival data) and subjective data (e.g., self-reported surveys). The following are examples of objective data that might be good outcomes to track as a result of increasing alcohol taxes:

- Rates of youth motor-vehicle crashes and injuries in traffic accidents among those 16 and 17 years of age
- Actual price of alcohol
- Rates of DUI arrests and convictions
- Number and types of arrests for alcohol-related violations

This type of data could be gathered from the state or local police department, the local health department, and the Mothers Against Drunk Driving organization (MADD). In addition, there is a web system called the Fatality Analysis Reporting System (FARS) organized by NHTSA ([www-fars.nhtsa.dot.gov](http://www-fars.nhtsa.dot.gov)) that allows users to access motor-vehicle crash data online. Its database can be queried to produce reports at the state, county, or city level.

Subjective data that could be collected from a survey (e.g., parents, youth, law enforcement) including Self-report of violations of the various aspects of the current graduated license law (e.g., how many times in the last month did you drive without an adult after 9 pm?)

- Attitudes towards increased taxes on alcohol
- Awareness of increased taxes on alcohol
- Number of youth involved in alcohol-related incidents

## INCREASING ALCOHOL TAXES OUTCOME EVALUATION TOOL

It is important for communities to have various types of information about the strategies documented. The Outcome Evaluation Tool is designed to organize the following information:

- **Summary of the needs and resources assessments:** Briefly summarize the results of the needs and resources assessments.
- **The target group (including numbers):** Briefly state who the target population is (e.g., merchants, policymakers, etc.), and how many were reached.
- **Desired outcomes:** This information is available from the Accountability Question - Goals.
- **Measures used:** Document what measure(s) were chosen.
- **Design chosen:** Document which evaluation design was utilized.
- **Number of people who were measured in the evaluation:** How many completed the evaluation? (Skip this section if the only method was a review of archival data.)
- **Data analysis method:** How were the data analyzed?
- **Pre and Post scores and their difference (if applicable):** Calculate the post score minus pre score for each participant to obtain the “difference” score between the two. Then take an average of all those “difference” scores.
- **Interpretation of the results:** What interpretations can be made when all of the data are considered together?

Using the Outcome Evaluation Tool in this way can also assist when writing reports for various constituencies, including funders.

## MEETING CONTACT FORM (APPENDIX M)

One-on-one meetings with key lawmakers and other community stakeholders who have responsibility for enacting and/or enforcing an alcohol tax increase are important aspects of the media advocacy efforts. It will be important to document these meetings. Using the Meeting Contact Form, it is possible to track the name and contact information, attitude toward alcohol tax rates, goals and objectives for the meeting (and which were met), and follow-up actions that need to be done.

## REFERENCES AND OTHER REFERENCES

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Environmental Strategy: \_\_\_\_\_ Date \_\_\_\_\_

Name of person completing form: \_\_\_\_\_



**PLANNING TOOL**

# INCREASING TAXES ON SALE OF ALCOHOL

## Summary

Briefly provide the title and summary for this environmental strategy.

**Title:**

**Summary:**

## Components

The primary component for increasing alcohol taxes will be the efforts to use the media to promote the passage of higher taxes on sales of alcohol.

## Identifying Anticipated Outputs

What outputs will show that the activities were implemented as intended? Outputs are the direct products of activities and usually are measured in terms of work accomplished.

Component	Actions Taken	Anticipated Output(s): How many...
Component 1: MEDIA AWARENESS AND ADVOCACY	One-on-one meetings	__meetings
	Public hearings about passing higher alcohol taxes	__hearings
	Press releases issued	__releases, __media outlets
	Letters to the editor written	__letter, __newspapers
	PSAs aired	
	Advertisements placed	
	Materials distributed	
	Press conferences held	
	Number of media personnel contacted	
	Op-ed pieces written	
	Other:	
	Other:	

## Planning each component

Each component needs to be planned. Here you need to think about all the activities that need to be completed in order to make each component successful. Each component includes several key activities.

<b>Component 1: Media Awareness and Advocacy</b>				
<b>Specify Key Activities</b>	<b>Scheduled Dates</b>	<b>Who Is Responsible?</b>	<b>Resources Needed/ Materials to Be Provided</b>	<b>Location</b>
Gather and update media contact lists.				
Select dates and places for any news conferences planned: 1. Have one describing the data collected about the current tax rates and the extent of the underage drinking problem. 2. Have a second news conference if taxes on sales of alcohol are changed or better enforced.				
Contact and meet with those who have influence over the tax rates on sales of alcohol or who would make useful allies, including: a) The state legislators b) The law enforcement groups c) The Alcoholic Beverage Control office or revenue department d) The local elected officials e) Local school officials f) Neighborhood organizations g) Parent and merchant groups				
Monitor the alcohol industry in the state by determining: -What alcohol companies are located in the state? -What is the extent of the lobbying and campaign contributing done by the alcohol industry?				
Write a news release publicizing the problems that can be caused by alcohol that is relatively inexpensive to buy.				
Work with your local TV stations, radio stations, and newspapers to run PSAs describing the problems that can be caused by low alcohol taxes and how higher taxes can help reduce these problems.				
Encourage the local paper to run an article about the problems that can be caused by low alcohol taxes and how higher taxes can help reduce these problems.				
Invite the media to cover the public hearings about passing a higher alcohol tax rate.				
Other:				
Other:				

## Collaboration Partners

Who are the collaboration partners for increasing alcohol taxes and what are their intended roles?

Collaboration Partner	Role of Partner

### Potential Barrier and Solutions

Passing and enforcing increased taxes on sales of alcohol can be difficult. It is helpful to forecast what these challenges or barriers might be and to generate possible solutions for them. In the table below, common barriers are listed. The group can add others in the spaces provided and generate proposed solutions to each barrier.

Potential Barriers	Potential Solutions
Officials may believe that increased taxes unfairly punish social drinkers.	Inform elected officials that the higher tax rate will affect those who purchase alcohol the most, thus social drinkers will only be minimally impacted.  Other solutions:
Officials may believe that taxes are already too high.	In general, alcohol taxes are low because inflation has not been factored in. Use the above information to demonstrate to officials the impact of inflation on alcohol taxes.  Other solutions:
Officials may believe that increased taxes will decrease revenue.	Inform elected officials that any politically acceptable alcohol excise tax increase will not cause a significant reduction in overall consumption, and the increase in tax revenues would be much greater than any reduction in consumption and sales. Also, any decrease in sales would likely result in a decline in alcohol problems and related health and safety costs.  Other solutions:
Officials may believe that increased taxes will lead to job losses.	On the contrary, according to the Bureau of Labor Statistics of the U.S. Department of Labor, beer-industry wholesale trade employment rose between 1990 and 1992, a year before and after the last federal tax increase. While jobs at the manufacturing level fell, this decline was mostly because of producer consolidation and automation. Beer sales have grown steadily, for example from \$40.2 billion in 1986 to nearly \$70 billion in 2001.  Other solutions:
Other:	
Other:	



## Summary Checklist

What must be done to prepare for this strategy? Indicate “Y” (Yes), “N” (No), or “NA” (Not applicable) regarding the tasks below. Have these tasks/activities been sufficiently addressed?

CHECKLIST ITEM		If no, plan for completion	By when?
Component 1: Media Awareness and Advocacy			
Y/N/NA	Resources obtained		
	Person responsible		
	Staff trained		
	Duties assigned		
	Location identified		
	Timeline written		
	Collaborative partners identified		
	Program materials developed		
	Barriers considered		
	Other:		
	Other:		

Environmental Strategy: \_\_\_\_\_ Date: \_\_\_\_\_

Name of person completing form: \_\_\_\_\_



**IMPLEMENTATION TOOL**

# INCREASING TAXES ON SALE OF ALCOHOL

## Monitoring Component Outputs

### Component 1: Media Awareness and Advocacy

Output	Implemented as Planned? (High, Medium, Low, No)	Anticipated Output(s)	Actual Output(s)	% Output Actual/ Anticipated
One-on-one meetings				
Public hearings about passing higher alcohol taxes				
Press releases issued				
Letters to the editor written				
PSAs aired				
Advertisements placed				
Materials distributed				
Press conferences held				
Number of media personnel contacted				
Op-ed pieces written				
Other:				
Other:				

### Progress, Problems, & Lessons Learned Regarding Outputs

## Planning Activities

Components	Key Planning Activities	Dates Scheduled to Complete Activity	Actual Date of completion
Component 1: MEDIA AWARENESS AND ADVOCACY	Gather and update media contact lists.		
	Select dates and places for news conferences planned <ol style="list-style-type: none"> <li>1. Have one describing the data collected about the current tax rates and the extent of the underage drinking problem.</li> <li>2. Have a second news conference if taxes on sales of alcohol are changed or better enforced.</li> </ol>		
	Contact and meet with those who have influence over the tax rate for alcohol or who would make useful allies, including: <ol style="list-style-type: none"> <li>a) The state legislators</li> <li>b) Law enforcement groups</li> <li>c) The Alcoholic Beverage Control office or revenue department</li> <li>d) Elected officials</li> <li>e) Local school officials</li> <li>f) Neighborhood organizations</li> <li>g) Parent and merchant groups</li> </ol>		
	Monitored the alcohol industry in the state by answering: <ul style="list-style-type: none"> <li>--What alcohol companies are located in the state?</li> <li>-What is the extent of the lobbying and campaign contributing done by the alcohol industry?</li> </ul>		
	Wrote a news release publicizing the problems that can be caused by alcohol that is relatively inexpensive.		
	Worked with your local TV stations, radio stations, and newspapers to run PSAs describing the problems that can be caused by low alcohol taxes and how higher taxes can help reduce these problems.		
	Encourage the local paper to run an article about the problems that can be caused by low alcohol taxes and how higher taxes can help reduce these problems.		
	Invite the media to cover the public hearings you will attend about passing a higher alcohol tax rate.		
	Other:		
	Other:		

### Progress, Problems, & Lessons Learned (i.e., barriers for not completing key activities on time)

## Collaboration Partners

Anticipated Partner	Actual Partner	Anticipated Role	Actual Role

## Progress, Problems, & Lessons Learned Regarding Collaboration

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# GLOSSARY

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<b>Accountability</b>	The ability to demonstrate to key stakeholders that an environmental strategy works and that resources are used effectively to achieve and sustain projected goals and outcomes.
<b>Activities</b>	What is developed and implemented to produce desired outcomes.
<b>Archival Data</b>	Also known as health status data or indicator data, this type of data shows trends over time. Located in national, regional, state, and local repositories (e.g., the Centers for Disease Control and Prevention, county health departments, local law enforcement agencies), this type of data can be useful in establishing baselines against which environmental strategy effectiveness can be assessed.
<b>Baseline</b>	Observations or data about the target area and target population prior to treatment or environmental strategy that can be used as a basis for comparison following environmental strategy implementation. Initial baseline data are usually collected through a needs/resources assessment process.
<b>Best Practice</b>	New ideas or lessons learned about effective environmental strategy activities that have been developed and implemented in the field and have been shown to produce positive outcomes.
<b>Comparison Group</b>	A group of people whose characteristics may be measured against those of a treatment group; comparison group members have characteristics and demographics similar to those of the treatment group, but members of the comparison group do not receive the environmental strategy.
<b>Compliance Checks</b>	Used to deter alcohol outlets from selling alcohol to underage youth, law enforcement officials supervise undercover youth who attempt to purchase alcohol, penalizing the establishment if the attempt is successful.
<b>Control Group</b>	A group of people randomly chosen from the target population who do not receive an environmental strategy but are assessed before and after an environmental strategy to help determine whether environmental strategy was responsible for changes in outcomes.
<b>Cultural Competency</b>	A set of academic and interpersonal skills that allow individuals to increase their understanding and appreciation of cultural differences and similarities within, among, and between groups.
<b>Data</b>	Information collected and used for reasoning, discussion and decisionmaking. In environmental strategy evaluation, both quantitative (numerical) and qualitative (non-numerical) data may be used.
<b>Data Analysis</b>	The process of systematically examining, studying, and evaluating collected information.
<b>Descriptive Statistics</b>	Information that describes a population or sample, typically using averages or percentages rather than more complex statistical terminology.
<b>Effectiveness</b>	The ability of an environmental strategy to achieve its stated goals and produce measurable outcomes.

<b>Empowerment Evaluation</b>	An approach to gathering, analyzing, and using data about an environmental strategy and its outcomes that actively involves key stakeholders in the community in all aspects of the evaluation process, and that promotes evaluation as a strategy for empowering communities to engage in systems change.
<b>Environmental Strategies</b>	Strategies that are focused on the “environment” can fall within various domains, as can those that focus on individuals and families. Environmentally focused strategies address policies, norms, expectations, regulations, and enforcement within a shared environment. Such strategies tend to (1) have greater reach (affecting more individuals) and less strength (intensity per individual), (2) be longer in duration, and (3) show more rapid results.
<b>Evidence-Based</b>	This term refers to a process in which experts, using commonly agreed-upon criteria for rating research interventions, come to a consensus that evaluation research findings are credible and can be substantiated. This process is sometimes referred to as “science-” or “research-based.”
<b>Experimental Design</b>	The set of specific procedures by which a hypothesis about the relationship of certain environmental strategy activities to measurable outcomes will be tested, so conclusions about the environmental strategy can be made more confidently.
<b>Focus Group</b>	A small group of people with shared characteristics who typically participate, under the direction of a facilitator, in a focused discussion designed to identify perceptions and opinions about a specific topic. Focus groups may be used to collect background information, create new ideas and hypotheses, assess how an environmental strategy is working, or help to interpret results from other data sources.
<b>Goal</b>	A broad statement that describes what the environmental strategy hopes to accomplish in the long term.
<b>Graduated Drivers’ License Laws</b>	Designed to gradually introduce new drivers to different driving circumstances, graduated drivers’ license (GDL) laws usually allow beginners to gain experience driving as they move from a highly supervised permit to a supervised license with restriction and then to a full-privileged drivers’ license.
<b>GTO</b>	Also known as Getting to Outcomes. A system of 10 accountability questions that contain all of the aspects of effective planning, implementation, and evaluation. GTO is designed to facilitate achieving results that transform any existing conditions (the real) into conditions that more closely approximate an envisioned (the ideal) state of affairs.
<b>Happy Hour Restrictions</b>	Limits or bans placed on events that promote binge drinking, such as happy hours, ladies’ nights, all-you-can-drink specials, or unlimited beverages at a fixed price for a fixed period of time.
<b>Impact</b>	A statement of long-term, global effects of an environmental strategy. Generally is described in terms of behavioral change.
<b>Incidence</b>	The number of people within a given population who have acquired the disease or health-related condition within a specific time period.
<b>Inputs</b>	The resources (e.g., funding, volunteer time) available to implement environmental strategy activities.
<b>Keg Registration</b>	Requires kegs of beer be tagged with an identification number and information to be recorded about the purchaser to make it easier to track the where-

	abouts of kegs and the individuals using them, including underage youth and the adults who may have provided the keg for them.
<b>Key Informant</b>	A person with the particular background, knowledge, or special skills required to contribute information relevant to topics under examination in an evaluation.
<b>Logic Model</b>	A series of connections that link problems and/or needs with the actions taken to achieve the goals.
<b>Mean (Average)</b>	A middle point between two extremes or the arithmetic average of a set of numbers.
<b>Needs Assessment</b>	A systematic process for gathering information about current conditions within a community that underlie the need for an environmental strategy.
<b>Outcome</b>	<p>An immediate or direct effect of an environmental strategy; outcomes are frequently stated as follows: By a <u>specified date</u>, there will be a <u>change (increase or decrease)</u> in the <u>target behavior</u> among the <u>target population</u>.</p> <p><b>Short-term Outcomes</b> (also known as immediate or intermediate outcomes): Changes that occur as a result of an environmental strategy that are measured immediately after implementation. Short-term outcomes are likely to be changes in attitudes, knowledge, and skills.</p> <p><b>Long-term Outcomes</b> (also known as impacts): Changes that occur as a result of many environmental strategies. Long-term outcomes are likely to be changes in behaviors, conditions (e.g., risk factors), and status (e.g., poverty rates).</p>
<b>Outcome Evaluation</b>	Systematic process of collecting, analyzing, and interpreting data to assess and evaluate what outcomes an environmental strategy has achieved.
<b>Outputs</b>	Number of service units provided, such as the number of parent education classes or number of client contact hours.
<b>Pre-Post Tests</b>	Evaluation instruments designed to assess change by comparing the baseline measurement taken before the environmental strategy begins to measurements taken after the environmental strategy has ended.
<b>Prevalence</b>	The total number of people within a population who have the disease or health-related condition.
<b>Prevention Classification</b>	<p>Adopted from the Institute of Medicine's classification system for prevention that includes universal, selective, and indicated prevention environmental strategies. Similar to previous systems using the language of primary, secondary, and tertiary prevention.</p> <p><b>Universal Prevention:</b> Prevention efforts targeted to the general population or a population that has not been identified on the basis of individual risk. Universal prevention environmental strategies are not designed in response to an assessment of the risk and protective factors of a specific population.</p> <p><b>Selected Prevention:</b> Prevention efforts targeted toward those whose risk of engaging in negative behaviors is significantly higher than average.</p> <p><b>Indicated Prevention:</b> Prevention efforts that most effectively address the specific risk and protective factors of a target population and that are most likely to have the greatest positive impact on that specific population, given its unique characteristics.</p>

<b>Process Evaluation</b>	Assessing what activities were implemented, the quality of the implementation, and the strengths and weaknesses of the implementation. Process evaluation is used to produce useful feedback for environmental strategy refinement, to determine which activities were more successful than others, to document successful processes for future replication, and to demonstrate environmental strategy activities before demonstrating outcomes.
<b>Process Indicators</b>	Indicators that the intended process or plan is “on track.” One process indicator showing success in developing a collaborative effort may be the development of an interagency agreement.
<b>Protective Factor</b>	An attribute, situation, condition, or environmental context that works to shelter an individual from the likelihood of a negative behavior (e.g., ATOD use, teenage pregnancy, child abuse).
<b>Qualitative Data</b>	Information about an environmental strategy gathered in narrative form by talking to or observing people. Often presented as text, qualitative data serves to illuminate evaluation findings derived from quantitative methods.
<b>Quantitative Data</b>	Information about an environmental strategy gathered in numeric form. Quantitative methods deal most often with numbers that are analyzed with statistics to test hypotheses and track the strength and direction of effects.
<b>Questionnaire</b>	Research instrument that consists of statistically useful questions, each with a limited set of possible responses.
<b>Restricting Access at Sporting and Community Events</b>	Policies that restrict the availability of alcohol at public events, including, but not limited to, sports games, community festivals, and other public venues.
<b>Alcohol Outlet Density</b>	The density and location of alcohol outlets (on and off premise) within a certain geographic area.
<b>Resource Assessment</b>	A systematic examination of existing structures, environmental strategies, and other activities potentially available to assist in addressing identified needs.
<b>Responsible Beverage Service</b>	A training program for alcohol beverage servers to reduce alcohol sales to persons under 21 and intoxicated individuals. Merchants who require RBS can benefit from reduced insurance rates and less exposure to court-ordered liability awards.
<b>Risk Factors</b>	An attribute, situation, condition, or environmental context that increases the likelihood of negative behaviors (e.g., drug use or abuse, teenage pregnancy, child abuse).
<b>Social Host Laws</b>	Laws that hold noncommercial servers of alcohol, such as homeowners or parents, liable in the event that they provide alcohol to a minor or an obviously inebriated individual who later becomes involved in an accident that causes injury or death to a third party.
<b>Statistical Significance</b>	A situation in which a relationship between variables occurs so frequently that it cannot be attributed to chance, coincidence, or randomness.
<b>Target Population</b>	The individuals or group of individuals for whom an environmental strategy has been designed and upon whom the environmental strategy is intended to have an impact.

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