

## Tobacco Retail Evaluation Point-in-time Assessment Instrument

In this survey, you will be asked to estimate your current stage within the Policy Change Process Model for each of your Tobacco Retail Policy Strategies

### Instructions:

1. Carefully review the Policy Change Process Model and expanded descriptions.
2. On the following page, fill out a separate table for each jurisdiction for which you have begun work on a tobacco retail policy strategy. This should include work being done with SPArC Tobacco-Free Funding and Core TPEP. Each County Tobacco Program should submit one response.  
In each table you will:
  - a. List the jurisdiction (city or county-wide)
  - b. List the type of policy (i.e., Tobacco 21, Tobacco Retail Licensure, etc.)
  - c. Write a brief description of the activities in that jurisdiction
  - d. List a milestone that has made the greatest impact
  - e. Estimate your current stage in policy change process using the HPCDP Policy Change Process Model and expanded descriptions
3. In estimating your current stage, think about how you are spending most of your time when working on that particular policy effort. The policy change process is rarely linear and it is quite possible to be working on multiple stages at the same time; if that's the case, determining where most of your time is spent can help identify your current stage.
4. If you have not yet identified policy goals for specific jurisdictions, indicate that in section b. of the first table.
5. If you want assistance with any part of this survey, please contact Alex McFerrin at 503-764-9696 or [alex.mcferrin@redegroup.co](mailto:alex.mcferrin@redegroup.co)

### Example Table:

a. Jurisdiction (specify a city or county-wide): Happyville County (County-wide)	
b. Tobacco Retail Policy Strategy: Tobacco Retail License	
c. Briefly describe three activities you have completed in the last three months or are currently undertaking to advance policy strategies in this jurisdiction: <ul style="list-style-type: none"><li>▪ Shared a presentation with the public health department about the importance of the tobacco retail environment. Asked for ideas of who might support this policy Happyville</li><li>▪ Talked with the former Mayor of Happyville about TRL to see if she would be a supporter/champion and she agreed.</li><li>▪ Talked to Happyville Urban League, and Positive Youth Center to hear their ideas and get their support — shared information with them about tobacco retail environment.</li></ul>	e. Indicate a <u>single</u> stage in the Policy Change Process Model where you are currently spending most of your time and effort on the policy strategy listed above:  <input type="checkbox"/> 1. Identify and Frame the Problem <input checked="" type="checkbox"/> 2. Engage Key Stakeholders and Community Groups * Select stage 2 only if you are primarily focused on <b>initial</b> outreach to stakeholders <input type="checkbox"/> 3. Assess Readiness for Policy Change <input type="checkbox"/> 4. Community Outreach, Engagement, and Education <input type="checkbox"/> 5. Decision-Maker Engagement and Education <input type="checkbox"/> 6. Draft Policy and Plan Implementation <input type="checkbox"/> 7. Adopt Policy <input type="checkbox"/> 8. Implement Policy and Support Compliance <input type="checkbox"/> 9. Evaluate Impact
d. Please list one milestone you have achieved in the last three months that has made the greatest impact on your tobacco retail policy strategy?  Getting support from the former Mayor.	

## Tobacco Retail Evaluation Point-in-time Assessment

County: \_\_\_\_\_

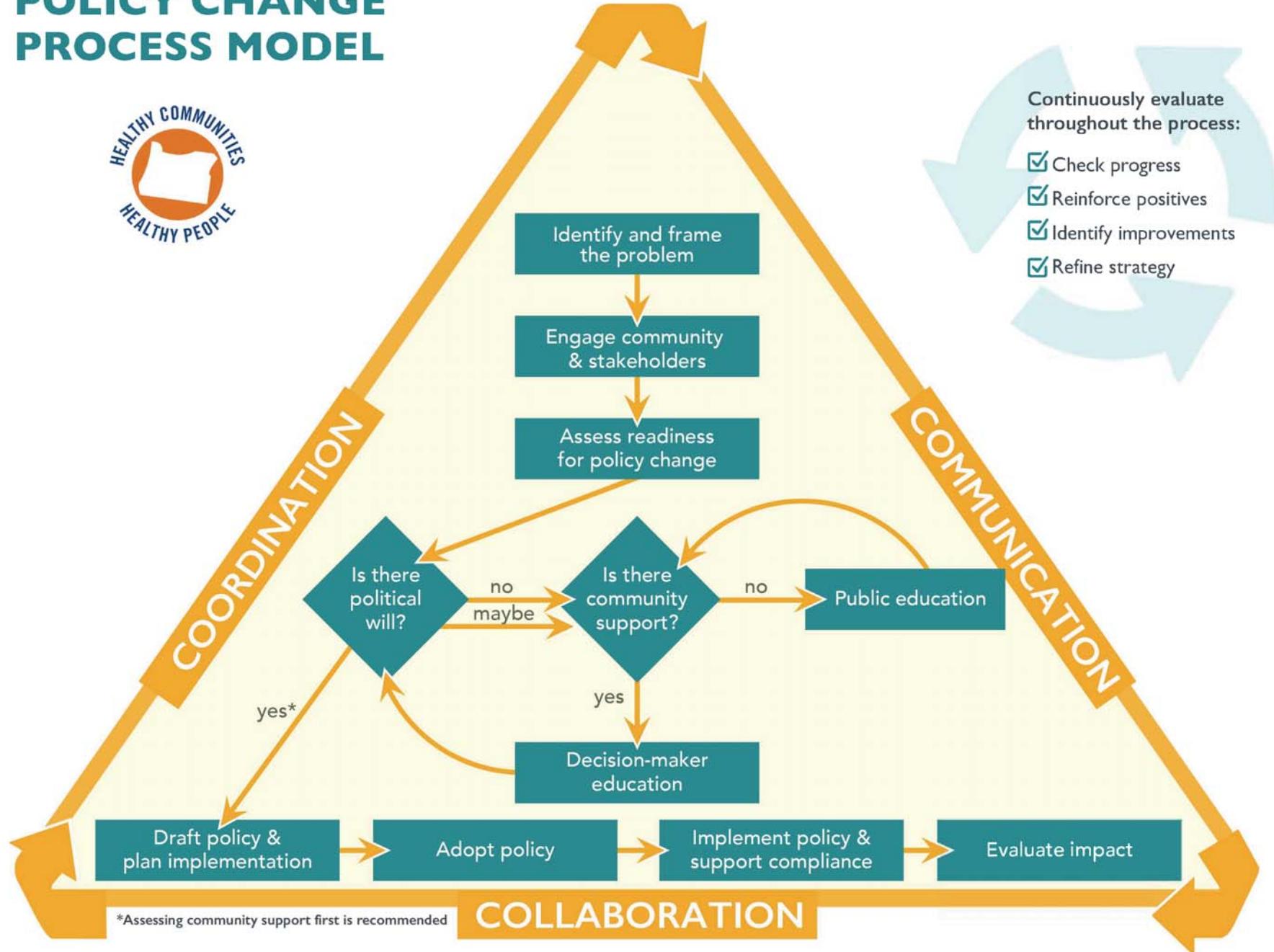
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**Note: If you double right click the boxes in section e. of the tables you will be able to change the box from “Not Checked” to “Checked”**

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# POLICY CHANGE PROCESS MODEL



## **Policy Change Process Model Descriptions**

The following descriptions are expanded from the HPCDP Policy Change Process Model

### **1. Identify and Frame the Problem**

Identify, define and quantify the public health need and the policy solution.

- Define, assess and frame the problem using the most current and relevant information available. This activity includes conducting a local retail environment evaluation.
- Assess current policies to identify gaps and necessary improvements. This step includes gathering current ordinances, policies and state laws to gain a thorough understanding of what laws are in place related to the tobacco retail environment in your community. With this information, you can identify where improvement should be considered.
- Synthesize evidence about effective public health policy options. This step includes working with HPCDP and other national organizations to review the literature about policies that are likely to affect a change in tobacco use and are legally advisable.
- Define policy solution. In this step, the local program identifies which policy solutions are most appropriate given the information gathered in previous steps. This step also includes carefully articulating (framing) why the policy solution is necessary and using data from the local retail evaluation, along with other data, to describe and frame the problem.

### **2. Engage Key Stakeholders and Community Groups**

Identify and reach out to select organizations and individuals with a stake/interest in the policy change. In this stage, you are working to identify a diverse group of *potentially influential* organizations and individuals who support tobacco retail environment change as a way to decrease tobacco use. This group of key stakeholders may be small. During this step, connecting with key pro-health community groups to hear perspectives and gather information may also happen.

- Network, build and/or maintain relationships.
- Assess and resolve concerns. Throughout the policy change process, it is critical to be listening for concerns and questions and to respond through research and thoughtful consideration.
- Find champions and supporters. This step involves finding people who are respected by decision makers and who are motivated/willing to speak for the policy change.
- Develop a diverse coalition. It is important to identify organizations and individuals who represent different sectors of the community such as the business sector (consider a retailer who supports the policy), the education sector, or the non-profit/health advocacy sector.
- Build consensus for the chosen course of action among the group of key stakeholders. In this step, key stakeholders should specify exactly which policy options will address the problem and identify deal-breakers. Deal-breakers are amendments to an ordinance that may happen during the "Draft Policy" or "Adopt Policy" stages or policy adoption stage that weaken it to the point that it is no longer a good policy. For example, adding an amendment to a Tobacco Retail Licensure ordinance limiting it to covering only neighborhoods with a higher median income. Prior to policy drafting and policy adoption, it's important to have agreement on what types of amendments would be acceptable and what would not.

**Note:** While decision/policy makers are often key stakeholders, they are rarely involved at this stage. If you are engaging decision makers through assessing their interest or level of support for the policy, then you have advanced to the next stage.

### **3. Assess Readiness for Policy Change**

Assess if there are political will and community support for policy change and understand where there may be opposition to the policy change.

- Assess community support for policy change. This step involves gathering information from community level surveys, polls, media studies, etc. to gauge overall community awareness of and support for the policy.
- Identify the broader group of stakeholders and assess their support for policy change through informational interviews, focus groups and polls/surveys; reach out to county commissioners and city leaders to hear their opinions. This step may also include outreach to tobacco retailers. In this step you often ask people you're talking with questions like, "who do you think will support this policy?" and "who do you think might oppose it?"
- Collect and review actions and successes from other jurisdictions.
- Estimate the health, fiscal, administrative, legal, social and political implications. If you haven't already connected with agencies who would be involved in implementing and enforcing a tobacco retail law, then this step will likely be an opportunity to build relationships with those agencies and individuals. As experts in enforcement, they are critical to success.

#### **4. Community Outreach, Engagement, and Education**

- Develop a cohesive education plan that incorporates multiple methods of outreach.
- Use information gained from assessments to create effective messages.
- Conduct meetings, events, presentations and other types of outreach, including media when appropriate. In this step, you may conduct education and outreach with tobacco retailers.

**Note:** It is often tempting to "jump" in with community education at the very beginning of a process; however, education will be far more effective if it is grounded in all the assessments and information gathering that has happened in stages 1- 3.

#### **5. Decision-Maker Engagement and Education**

- Engage with decision-makers about the public health need and policy solution. During this step, public health provides decision-makers with information and options for changing policy to improve population health. It involves listening to decision-maker priorities and providing fact-based information to build the case for necessary change.
- Reach out to decision-makers through champions and networks. In this step, public health provides advocates and champions with fact-based information to assist them in their interactions with decision-makers.
- Identify, research and resolve concerns. Decision-makers will need answers to very specific questions such as how much enforcement will cost or who will be affected and what information or assurances do they need before they can make a decision. Be prepared to methodically answer questions and resolve concerns.
- Track support and its change over time.

#### **6. Draft Policy and Plan Implementation**

Draft the best possible policy, given political and other constraints.

- Clarify agency process for drafting and proposing policy. Every public health department has a slightly different way of developing and drafting policy language and processes can differ greatly. In this step, you will likely work with your supervisor to understand how your program approaches this task.
- Identify resources, such as a model policy, and examples from other jurisdictions.
- Plan a policy review process that incorporates legal and policy expertise.
- Monitor the policy drafting process. In this step, a local program coordinator may assist other government officials, such as a county attorney or city

administrator, with national and state resources that can exemplify well-crafted policy language. A local program coordinator might also shepherd a policy draft through various stages of a drafting process.

- Develop a plan to implement, monitor and evaluate the policy (e.g., develop budgets, rules, procedures, materials).
- Plan for equitable enforcement. Meet with community members to understand enforcement issues and the needs of specific communities. Plan for translating materials into different languages where appropriate. If you plan to conduct compliance checks, create a plan to equally distribute them throughout the jurisdiction so that they are not concentrated in any particular neighborhood.
- Create a communication plan for policy roll out. A communication plan could include direct communication with affected businesses and community education through media.
- Develop a timeline that allows businesses to make necessary arrangements (such as filing paperwork, paying fees, reconfiguring product placement, or training staff) to comply with the policy.
- Work with other entities (such as enforcement officers or business license departments) on structural and programmatic adjustments to assist with effective implementation.

## **7. Adopt Policy**

Work with policy makers to formally adopt the policy.

- Plan for public comment to support the policy. Alert coalition members and the public with timely accurate information about all opportunities to comment on the proposed policy. Assist coalition members to develop testimony and comments (when appropriate).
- Provide information to decision-makers.
- Count votes before the actual vote. This step involves asking or estimating how many decision-makers are likely to support or oppose the policy. This can be done by talking to advocates who have asked decision-makers about their opinion on the policy or talking directly to decision-makers. Either way, it's important to have some sense of how decision-makers may vote prior to a public hearing.
- Anticipate possible last-minute amendments.

## **8. Implement Policy and Support Compliance**

Communicate policy change with all affected audiences.

- Implement the communication plan developed in the "Draft Policy and Plan Implementation" stage.
- Develop administrative regulations such as rules, if necessary. Often laws and public policies require a government agency to develop policies and procedures for administering the policy. This is usually a formal process.
- Redesign environments to support effective implementation and compliance.
- Monitor implementation.

## **9. Evaluate Impact**

Evaluate the impact of the policy change.

- Track the implementation process (Is the policy and plan functioning as intended?). This step often involves establishing and maintaining records such as numbers of compliance checks or violations, locations of retail outlets, etc. Keep in mind that the policy will be in place for many years, so establishing a record keeping system that can be easily transferred to new employees is essential.
- Monitor policy/systems/environmental change.
- Take appropriate action to address evaluation results. For example, if evaluation results show numerous repeated violations in a certain neighborhood, then you might conduct educational visits with each retailer to assist them with compliance.

- Evaluate the effectiveness of the policy change process. For example, what lessons learned can be gleaned from your policy change process? What would you do differently in future policy change projects? What would you do the same?
- Incorporate evaluation findings into future planning.
- Evaluate equitable enforcement.