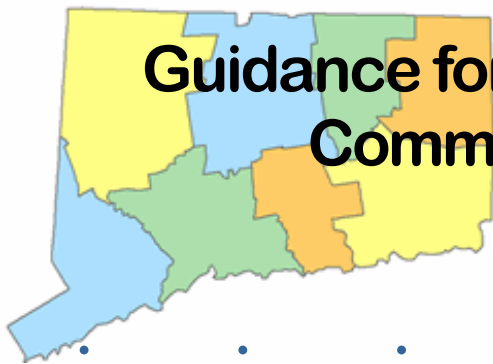State of Connecticut
Department of Mental Health & Addiction Services

Guidance for Preparing the CT SPF Community Evaluation Report

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Introduction

Over the course of the past three years, funded with grant dollars from the Department of Mental Health and Addiction Services (DMHAS) for the Strategic Prevention Framework Initiative, 28 community coalitions have sought to reduce underage drinking utilizing a community level, public health approach known as the Strategic Prevention Framework (SPF). The SPF is a five step process that includes building the capacity of communities to address substance abuse prevention. The tasks of the five steps include:

- Performing a needs assessment on substance abuse,

- Building the communities ability to understand and address substance abuse

- Developing a plan that addresses substance abuse prevention,

- Implementing evidence based strategies for substance abuse prevention and

- Evaluating the success of the implemented strategies.

To date, the funded community coalitions have implemented four of the five steps and are now ready to evaluate their efforts. This evaluation will offer feedback to the coalition and the community at large regarding the success of the efforts to prevent underage drinking. This feedback will:

- Outline ideas for next steps,

- Create a series of benchmark for the next round of implementation of the five steps and

- Provide ideas on how to sustain the momentum of the coalitions work.

The feedback will be incorporated into a report that will be in a format that is easily understood by the community members served by the coalition. This report will meet the needs of the diverse populations in the community, utilizing the principles of cultural competency that have been a focus of the Connecticut Strategic Prevention Framework State Incentive Grant.

Purpose of the Guidance Document

This document provides guidance and information for writing the Strategic Prevention Framework Evaluation Report. Utilizing knowledge acquired through web based and group training, community coalitions will answer the questions in the Evaluation Report Guidance Document to produce a report and completed logic model. When followed the Guidance Document will allow community coalitions to:

1. Describe the community served by the coalition and the scope of the problem including reasons (causal factors) that contribute to underage drinking.

2. Explain the process and data that established what strategies would address the problem.

3. Detail what strategy was implemented to address underage drinking including the population that received the strategy and the activities that supported the strategy. *The evaluation report will focus on at least one environmental strategy* but will also include descriptive information on other strategies and activities that may have supported the strategy of focus. (Coalitions are welcome to evaluate more than one strategy)

4. Explain results of the strategy utilizing data that measures short term and long term outcomes.

5. Describe the coalition, it's partners, growth, development and specific goals for the future.

6. Provide suggestions for the community's commitment to invest resources that are specifically directed at underage drinking in the future.

The Evaluation Report will be a community friendly document, easily understood by the diverse populations served by the coalition. It will be a valuable tool for advocating for sustaining the progress toward reducing underage drinking. It will provide a foundation for the continuation of the Strategic Prevention Framework including guiding changes to existing strategic plans, reinvigorating community members to reinvest in the ongoing work, and establish potential short and long term outcomes. The report will be distributed widely throughout the community with coalition contact information for community members.

Resources

To facilitate the creation of the Evaluation Report DMHAS is providing the following resources that may be utilized by the community coalitions:

- *The Multi-Cultural Leadership Institute*- Technical assistance on developing products that meet the needs of diverse population
- *The Governors Prevention Partnership*- Technical assistance on the writing evaluation reports, including one on one meetings, group technical assistance sessions and telephone/electronic support.
- *University of Connecticut Health Center Evaluation Team*- telephone technical assistance regarding general questions on evaluating underage drinking initiatives

- *The Connecticut Clearinghouse*- Listserv management to facilitate peer communication as evaluation documents are produced

Coalitions are encouraged to utilize SPF funding to explore hiring local evaluation consultants for assistance in creating the evaluation document content.

Reporting Format for Connecticut SPF-SIG

The following information should be included in the evaluation report. The report must be presented in a way that makes it user friendly. The coalition should be creative in how the information is presented so that it "grabs" attention. Brochures, posters, web materials, electronic presentations, bold colors, graphics or other creative methods may be employed to help the report stand out.

I. What are the geographical areas you have served (towns, college campuses)?
   a. Give brief demographics of that area(s).
   b. Briefly describe how you reviewed data related to underage drinking for that geographical area.

II. What risk factor(s) were prioritized to address underage drinking?

   a. What data showed this should be the priority risk factor(s)?
   b. What were the key findings that the data showed?
   c. Briefly present or attach your logic model (use CT format)

III. What environment strategy are you evaluating?
   a. What population(s) received this strategy?
   b. How do you know this strategy addressed your prioritized risk factor (evidence based)?
   c. Briefly describe how the strategy was implemented.
   d. Describe the level of effort (who got how much of what?)
   e. About how much did this environmental strategy cost? (direct and indirect?)

IV. What services did you layer to support this strategy? (youth involvement, coordination with other coalitions, media events, trainings for specific sectors-law enforcement, TA)

V. Methods for process evaluation

   a. What activities do you track over time?
   b. What tool (or source of information) do you use to gather this information?
   c. How frequently do you collect this data?
   d. Who collects this information?
   e. How is this data analyzed or described?
   f. How well is this evaluation method working?
   g. What do you think needs to be changed?

VI. Methods for shorter-term outcome evaluation (or risk factors)
   a. What shorter-term outcomes do you track over time?

b. What tool (or source of information) do you use to gather this information?
c. How frequently do you collect this data?
d. Who collects this information?
e. How is this data analyzed or described?
f. How well is this evaluation method working?

VII. Methods for longer-term outcome evaluation

a. What longer-term outcomes do you track over time?
b. What tool (or source of information) do you use to gather this information?
c. How frequently do you collect this data?
d. Who collects this information?
e. How is this data analyzed or described?
f. How well is this evaluation method working?
g. How do you collect information on the National Outcome Measures? (Core measures)

VIII. How has the coalition increased its capacities over time? (e.g., new partnerships, donations, new grants)

IX. Conclusion
a. What are the coalition's overall successes and challenges?
b. What are the next steps for the project?
c. What are potential short term and long term outcomes for the next five years
d. How will preventing underage drinking work be sustained in the community?
e. What key elements of the SPF will you be able to sustain? (i.e. staff, coalition, strategies, policies, etc.)

Timeline to complete the Evaluation Report

Deliverable	Assignment	Due Date
Evaluation Learning Session	DMHAS, NECAPT	9/21/09 & 9/22/09
Implement evaluation guidance document at the community level	Community Coalitions	10/01/09-3/31/10
TA to grantees on evaluation	GPP, UCHC, MLI	10/01/09-3/31/10
Create evaluation report	Community Coalitions	10/01/09-3/31/10
Evaluation reports to DMHAS	Community Coalitions	4/15/10
Review evaluation reports from grantees	DMHAS, Resource Links, UCHC	4/15/10-5/15/10
Revise evaluation reports as needed	Community Coalitions	5/30/10
Evaluation reports created in community accessible formats and distributed	Community Coalitions	6/15/10

The Strategic Prevention Framework (SPF): Evaluation

This document is designed to provide information and tools for how to evaluate the local SPF SIG activities in Connecticut. Every community coalition funded by the SPF SIG is required to conduct a local evaluation. To date, most coalitions have, intentionally or unintentionally, undertaken some evaluation activities already. This document will help to formalize current evaluation activities as well as provide ideas for how to proceed with future evaluation plans.

The five steps of the strategic prevention framework require that all elements of successful prevention be done. This includes assessment, capacity building, planning, implementing, and evaluating. Cultural competence and sustainability are integrated into these steps as a way to ensure that the critical aspects of successful programming (e.g., culturally competent activities) are conducted and planned (e.g., sustainability of activities). The image of the SPF-SIG is typically viewed as the following:

Figure 1. SAMHSA's Strategic Prevention Framework (SPF)

Throughout the course of the CT SPF Initiative, a lot has been accomplished. Some of the activities and accomplishments include:

- ✓ Developed and maintained coalitions and partnerships
- ✓ Assessed community ATOD needs and resources in a finite geographic area
- ✓ Analyzed risk and protective factors
- ✓ Developed priorities to focus community efforts
- ✓ Developed a framework or logic model to guide planning
- ✓ Researched and planned evidence-based practice related to priorities
- ✓ Developed a comprehensive strategic plan
- ✓ Received training on programs, practices, and protocols
- ✓ Implemented evidence-based strategies
- ✓ Reviewed information/data to make corrections
- ✓ Recruited additional partnerships when necessary
- ✓ Planned for cultural adaptations and strategies for input from diverse groups.
- ✓ Engaged media outlets and implemented innovative strategies to increase awareness
- ✓ Written reports highlighting the community's strategies for preventing underage drinking
- ✓ Secured additional funding/support for the sustainability of the community's strategies

<u>What, Me Evaluate</u>?

This document is designed to highlight the SPF step of <u>evaluation.</u> However, all of the SPF steps are integrated and cannot really be done in isolation. In prevention work, practitioners frequently perceive that evaluation is not within their skill level and/or and view it as separate from planning and implementation.   Unfortunately, because the evaluation component is frequently presented last in the prevention chain, it is understandable why many view it as a task to be considered later. In addition, because outside evaluators are frequently hired to draft detailed reports that can be based on large amounts of information, it is easy to understand why evaluation is viewed as separate, technical, and for some, pretty mysterious.

Although intensive data collection and sophisticated data analyses techniques may be best left to the skilled, outside experts, there are very straightforward day-to-day activities that are evaluative and need to be documented. This document will provide some of these evaluative tasks to be done as well as methods and tools to use when developing more formalized evaluation plans.

I.   REASONS FOR EVALUATIION

Some of the many reasons evaluation is important include:

1. To decide whether a strategy (and related activities) is working as planned.
2. To determine how a strategy (and related activities) needs to be modified.
3. To determine whether the strategy (and related activities) need additional resources.
4. To determine whether the strategy (and related activities) should be sustained.
5. To determine cost-effectiveness of the strategies (and related activities).
6. To determine strengths and challenges related to success.

Communities can describe additional reasons why evaluation is important. After all, communities are interested in what is working well and how those effective strategies can be sustained. The Center for Substance Abuse Prevention (CSAP) uses this information to justify requests to Congress for money to support prevention and support programs. Gain as much

training and technical assistance in this area as possible. Invite community members and partners to evaluation workshops. The evaluation process seems less daunting when more than one person is promoting the need for ongoing evaluation and monitoring. Consider how contracting with an outside evaluator and other expert consultants to assist in this process.

II.   HOW TO WORK WITH AN EVALUATOR

Many community coalitions should contract with a professional evaluator (e.g., university affiliate or evaluation consultant) to plan and carry out the formal evaluation plan. The services that professional evaluators provide may include drafting an evaluation plan, helping to write reports, and identifying some ways that the data might inform improvements in the community's strategic plan.   To hire an evaluator, consider viewing the resources at Hiring an Evaluator (which can be found in the National Center Evaluation Toolkit).

To move forward with a current or new evaluator, be mindful of how the following discussion points and issues can be addressed to ensure a productive working relationship.

- Have the coalition and the evaluator come to an agreement about the scope of work, including when and how the evaluator will report on the status of the evaluation?

- Are there regular meetings with the evaluator?

- Is the evaluator sensitive to the culture and background of the target audience (s)? If not, how can cultural competence be brought into the evaluation?

- Is the partnership actively involved in aspects of the evaluation? Do partnership members sit on your Evaluation Team? Is the evaluation responsive to their needs?

- Is data shared with partners, participants (e.g., teachers, students, mental health counselors), and stakeholders (e.g., the school board) in a way that engages them in the mission of the initiative?

III.   REVIEWING THE LOGIC MODEL

One main purpose of a logic model is to provide stakeholders with a road map describing the sequence of related events including the "logic" of how strategies are chosen based on identified needs/gaps-- and how these will contribute to longer-term changes. Logic models are useful tools in many ways. Because they are pictorial in nature, they require systematic thinking and planning to best describe the connections (or logic) of the road map. One advantage of the logic model approach is that it helps create shared understanding of goals, strategies, and the desired outcomes. Additional advantages to using logic models are presented below.

- *Describes programs/strategies* in language clear and specific enough to be understood and evaluated.

- *Builds a shared understanding* of what the program/strategy is all about and how the parts are designed to work together.

- *Focuses attention and resources* on priority strategies/programs and describes specific results to be monitored to ensure accountability.

- *Develops targeted communication* and marketing strategies.

Although logic model formats vary, Connecticut community coalitions have used the following logic model format:

Consequences	Causal Factors	Inputs	Strategies *Activities*	Short-term Outcomes	Long-term Outcomes
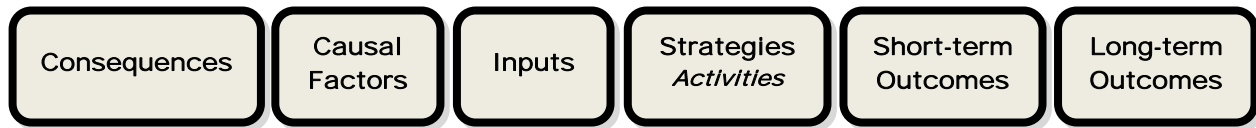
The following tasks and suggestions may be useful as you consider how you would complete the logic model. Completing this format will help you develop the main components of your evaluation plan and report.

▶ **TASK ONE: Consequences/consumption patterns**

Consequences: Data about the consequences and consumption patterns were collected in the beginning of the grant process. A great deal of data were collected, analyzed, and reviewed. This data, compiled by the RACS, provided objective information that was used for prioritizing the critical needs in the community coalition area. High consequences across the state (e.g., arrests, deaths, addiction, assaults) led to the priority focus being to prevent and reduce underage drinking.

▶ **TASK TWO: Causal Factors**
This activity prompts consideration of the potential causal factors that may be contributing to the community's problem of underage drinking. Common causal factors (also referred to as intervening variables and risk factors) are known through research and include factors to include:
- ✓ Low enforcement of alcohol laws and policies
- ✓ Easy retail availability
- ✓ Social access
- ✓ Alcohol promotion
- ✓ Low commitment to school
- ✓ Peer norms that accept/encourage underage drinking
- ✓ Family norms that accept/encourage underage drinking
- ✓ Low perception of risk of harm

While it may not be possible to focus on all of these causal factors, there are identified key factors in each community that relate to increased likelihood of underage alcohol use. These include low enforcement, retail and social access, and community norms favorable toward use. These data will be the key indicators for how to track progress over time. That is, measures that highlight changes in these factors will contribute to the changes in short-term and long-term outcomes. (See Section V-VII for more information).

▶ **TASK THREE: Identifying Inputs**

Inputs typically describe *what is invested:* They are the human, financial, organizational, and community resources available to direct toward doing the work. This information is helpful during implementation to determine if the resources are sufficient or what additional support is needed. Examples include: funding, in-kind support, community volunteers, consultants, training/technical assistance opportunities, etc.

▶ **TASK FOUR/FIVE: Strategies/Activities**

Strategies are the key components of the community's overall plan to address underage drinking. In this case, these strategies include alcohol compliance checks, merchant education, party patrols, and media. There are likely to be more strategies, but these four are the focus of this document. The community coalitions have chosen these strategies based on the priority causal factors that emerged during the review of data related to the consequence/consumption patterns of alcohol use in the community of focus.

Figure 2. Outcomes-Based Prevention Model

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┌─────────────┐       ┌─────────────┐       ┌─────────────┐
│ Substance-  │  ◄──► │   Causal    │  ◄──► │ Strategies  │
│  related    │       │   Factors   │       │             │
│  problems   │       │             │       │             │
└─────────────┘       └─────────────┘       └─────────────┘
```

Activities are the specific steps that must occur in order to implement the strategies. The specific activities and what data will be collected to show that these activities occurred will depend on the environmental strategy selected. Activities could range from the number of planning meetings to the actual number of media messages aired, and compliance checks done. Frequently, these activities are related to objectives that were developed in the community's strategic plan. Consider using the CDC's SMART process:

1. **S**pecific: identify a defined event (e.g., reductions in compliance check failure rate)
2. **M**easurable: specify a baseline value and quantity of change that is expected to occur as a result of program activities (e.g., reduce from 35% to 25%)
3. **A**chievable: realistic to expect in the specified timeframe
4. **R**elevant: linked to your goals (and in this case, the SPF-SIG initiative)
5. **T**ime-bound: provide a specified timeframe by which the objective will be achieved (e.g., by the fourth year of the project in June 2010)

> **Good Example**
>
> *What will change, for whom?* **To reduce the percentage of students in grades 9-12 who indicate that they obtain alcohol from bars**, *by how much*, **from 25 to 15 percent**; *by when?* **By the end of the fourth year of**

This step includes beginning to consider what to track (or monitor) for each of the environmental strategies. This information will be used for the process evaluation and is typically tracked by monitoring outputs. Outputs are frequently described as "numbers" of events (e.g., PSAs aired) or people/organizations (e.g., merchants) who participate in the strategy. Outputs are usually identified by counting events/people and inform data to be tracked in the process evaluation. Identifying this information is important for developing the local evaluation plan as well as a way of defining measures of implementation (e.g., quantity and quality). There is more about process evaluation and outputs to track in Section V of this report.

> **Good Example**
>
> 1) The number of stores checked for compliance, 2) The number of stores that sold or did not sell alcohol, 3) The number of warnings citations, or arrests made, etc

▶ TASK SIX: Identifying Short-term and Long-term Outcomes

Short term outcomes should be attainable within 1-3 years and should be related to the causal factors that were identified as needing to be changed (e.g., low enforcement, community attitudes) in the prioritization process.   An evaluator will be able to help you plan how these outcomes will be measured (e.g., surveys, data review, interviews).

> **Good Short-term Example (1-3 Years)**
>
> 1) Increase in ID checking by 10% in package stores by June 2010.
> 2) Increase alcohol vendor knowledge of state laws by 25 % by June 2010, 3) A reduction in the percentage of stores that fail compliance checks from 35 % in 2007 to 10% in 2012.

Longer-term outcomes are the changes that will occur over time as a result of the implementation of the combination of strategies in the plan.   These changes are the common desired outcomes from all states funded by the SPF-SIG. These are changes at the individual level as well as the community level. Changes in the individual and community level can be the National Outcome Measures (NOMS) that are specified by the CSAP. (See Section VII for these and ways to evaluate them). Changes in the community level are also demonstrated by the data reviewed (e.g., underage arrests, crash data, etc.) when considering the consumption/consequences. (Refer to the SPF Guidance Document on Step #1 Assessment)

> **Good Long-term Example (4-6 Years)**
>
> A reduction in the percentage of 9-12th grade students who indicate that they have drank alcohol in the last 30 days. 2) Increased age of first use of alcohol. 3) Reduce underage drinking arrests. 4) Decreased motor vehicle crashes involving youth and alcohol

Remember the development of logic models are useful to help think about the connections between the data, strategies, and results. The format of the logic model can vary but the key elements are typically similar. Connecticut's logic model format is included as Appendix A.

IV. IMPLEMENTING AND EVALUATING ENVIRONMENTAL STRATEGIES

The completion of a logic model ensures that some thought has been given as to how to track activities related to the strategy (process evaluation) and how to determine if those strategies are effective (outcome evaluation).   However, evaluating community-based processes, such as environmental strategies designed to deter underage drinking, is a complex task. The evaluation methods are not as clear cut as a pre and post evaluation design where a pre survey is administered before the start of a program and then a post test administered at the end. Evaluation of community strategies may include designs like pre-post (merchant education) but also require additional consideration about methods for ongoing assessment (review of trend data).

In 2007, SAMHSA endorsed ten environmental strategies to reduce and prevent underage drinking (Imm, Chinman, Wandersman, Rosenbloom, Guckenburg, Leis, 2007). These strategies are listed below and specific evaluation methods for several of these strategies are highlighted in the rest of this document.

1. Responsible beverage service (RBS)
2. Alcohol compliance checks
3. Happy hour restrictions
4. Reducing alcohol outlet density
5. Sobriety/traffic safety checkpoints
6. Graduated drivers' license checkpoints
7. Social host laws
8. Keg registration
9. Restricting alcohol sales at public events
10. Increasing taxes on sales of alcohol

In addition, media advocacy and other social marketing strategies (including social norms marketing) have also shown to be effective and are promoted as effective strategies. The implementation of party patrols can also be an effective environmental strategy especially when combined with other related activities such as controlled party dispersal. Several of these strategies are highlighted in Figure 3 below that is promoted by CSAP as a way to consider specific strategies based on communities causal factors (risk factors).
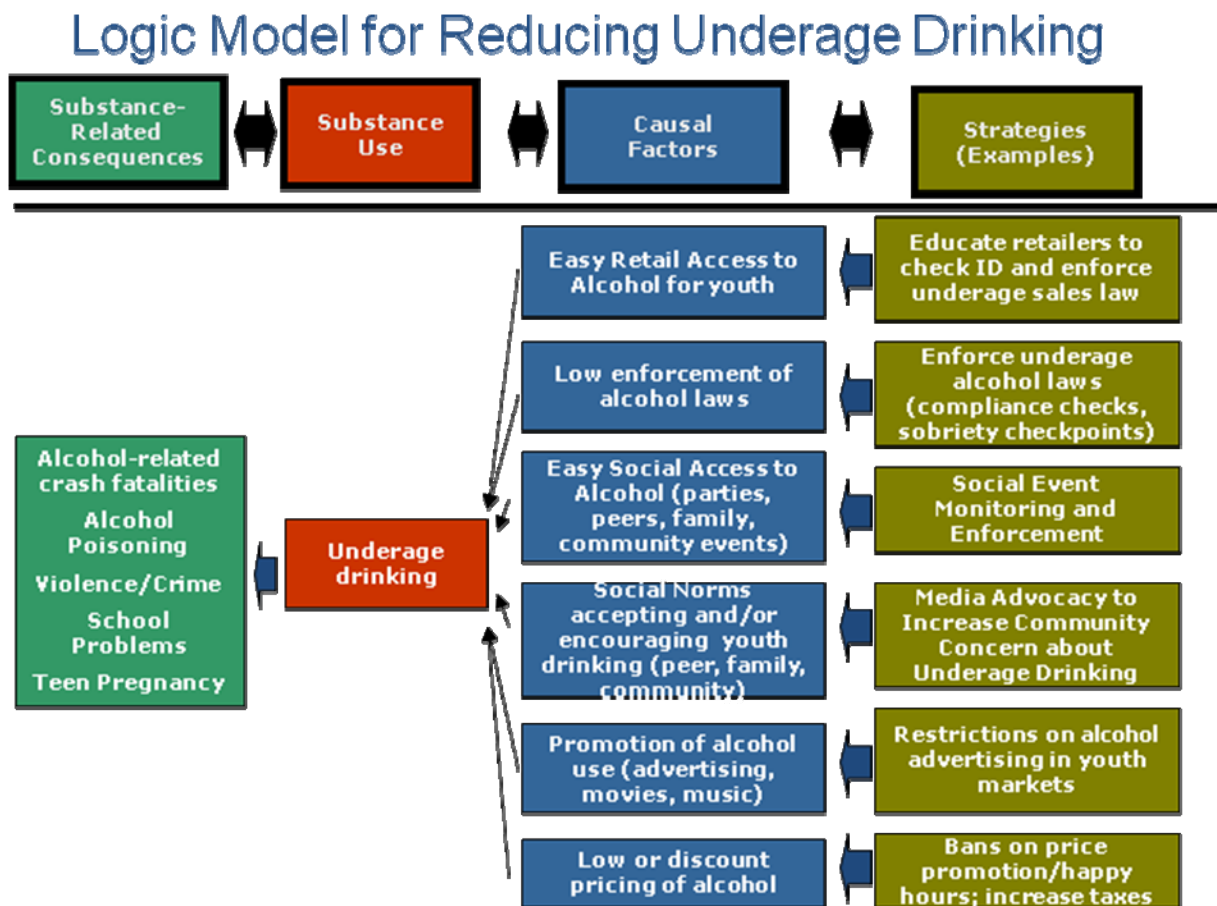
Logic Model for Reducing Underage Drinking

Figure 3. SAMHSA's Outcome Based Prevention Model for Underage Drinking Prevention

Additional information including the research base highlighting the effectiveness of these strategies are included in Appendix B of this document. Specific tools for measuring these strategies are specified through this document and included in Appendices E-H.

V. KEY ELEMENTS OF PROCESS EVALUATION

High quality implementation of an environmental strategy is necessary to obtain positive results. By tracking the various activities of the strategy, important information is provided about what is working well. This information (i.e., process evaluation data) allows staff/stakeholders to make midcourse corrections and to keep the environmental strategy on track. Process evaluation data can help explain whether or not the activities were a good fit and whether the quality of implementation was sufficient. Process data are necessary to explain the outcome results (or lack of them).

Potential Examples:

- **Process evaluation** documents what activities occurred and whether those activities were implemented as planned. Several examples are:

    - ✓ The number of merchants trained in merchant education
    - ✓ The number of alcohol compliance checks done
    - ✓ The number of party patrols conducted

✓ The number of PSAs developed and aired on TV or radio.

Over time, the process evaluation helps explain the final evaluation results. If merchant education has not been done in all parts of the town or compliance checks are so predictable that merchants begin a telephone tree, then there are explanatory reasons about why commercial access has not been reduced (i.e., continued high buy rates). Being aware and tracking the process (outputs) ensures this information will be systematically gathered and documented. Process evaluation also allows documentation of successful activities, provides information for successful replication, and helps to demonstrate to media, community, and funders what activities are occurring and contribute to successful results. This is particularly important because environmental strategies frequently take a while to show success and documenting what the coalition is doing now, next month, and next year will help to show that what activities contributed to the final results.

What Should Be Measured in a Process Evaluation?

The answer to this question depends on which environmental strategies are selected. Tracking outputs (numbers) is necessary for a high quality process evaluation. Several examples of these, depending on the strategy, are provided above. (See Appendix C for suggested outputs related to the four environmental strategies). In addition, process variables usually include an assessment of how well the plan was implemented. Several of these variables could include:

✓ Fidelity to the plan. If 30 compliance checks in 2 months were planned and only did 15, then 50% of this planned activity was obtained . Why did this occur?
✓ Demographics of the "participants". If only urban areas are visited for compliance checks because driving to rural areas required too many resources, then document this so there is better understanding of the pattern of the outcome results.
✓ Timeliness of activities. If the media campaign was delayed by 6 months because of challenges with creating messages, then this should be documented since the campaign may run significantly less than expected
✓ Adequacy of collaboration. If a key partner in your operations was not included in activities (e.g., sheriff's office), then it may be difficult to implement the party patrols as expected.
✓ Satisfaction with "services." If the merchants selling alcohol/liquor are not satisfied with the merchant education program provided (e.g., TIPS), then it may be difficult to recruit new merchants or recertify current merchants.
✓ Progress, problems, and lessons learned. Document unexpected factors that relate to progress, any problems that can be useful for improvement, and lessons learned.

VI. KEY ELEMENTS OF OUTCOME EVALUATION

Outcomes are changes that occur as a result of the environmental strategy. As discussed earlier, longer-term outcomes (e.g., changes in underage drinking) will rarely occur as a result of one strategy. So, it is really the overall plan that contributes to the outcomes (changes) over time. However, it is important to know how well an environmental strategy worked, if it should be continued, and what data can be used to ensure sustainability of the strategies.

Outcomes can be measured from the start of an environmental strategy to months, and sometimes even years beyond its official conclusion. These changes can occur and be measured at multiple levels such as individual, family, demographic subgroups (e.g., high

school students, parents) schools, and communities. It is preferable to aim to reach for outcomes that reflect actual behaviors (as opposed to only knowledge), cover larger groups of people (e.g., town vs. one school), and are demonstrated over a longer period of time (as opposed to those that can disappear quickly).

Specific steps to conducting an outcome evaluation typically depend on the evaluation questions being asked. These, in this case, these probably relate to the overall goal of how well the community's efforts have contributed to reductions in underage drinking. Steps in outcome evaluation typically include:

1. Identify what will be measured
2. Select an evaluation design
3. Decide who will be assessed
4. Choose methods for measurement
5. Determine when the assessment will occur
6. Gather the data
7. Analyze the data
8. Interpret the data and report to audience

Coalitions may have completed several or even many of the steps above Now is the time to ensure that measured outcomes that are related to the chosen strategies, are required for continuation, and will give the most useful data to promote sustainability.

What should be measured in an outcome evaluation?

The types of outcomes measured will be determined by the types of environmental strategies implemented. In some cases, an outcome may be the passage of a law or an ordinance that supports the strategy (e.g., merchants selling alcohol must complete TIPS, passage of a graduated licensing 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. Some common outcomes for environmental strategies are the shorter-term results of changes in laws and policies such as:

✓ Improved use of merchant education (TIPS)
✓ Reduced access to alcohol by underage youth
✓ Decline in the number of alcohol licenses issued
✓ Decline in the number of conditional use permits utilized when granting alcohol licenses
✓ Increased frequency and efficiency in party patrols
✓ Increase in the number of alcohol outlets in compliance with conditions needed to maintain alcohol sales permits (merchant education)
✓ Increase in the number of alcohol outlets that implement happy hour restrictions
✓ Improved commitment by the media to air ads related to the consequences of underage drinking
✓ 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,

alcohol poisonings, sexual assaults, deaths). It is possible to have a shorter-term outcome (e.g., better enforcement) that actually suggests a worsening in the long-term outcomes (e.g., arrest 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 longer-term outcomes. Several examples of the longer-term outcomes of a comprehensive underage drinking prevention plan are:

- ✓ Rates of underage drinking arrests and convictions
- ✓ Rates of motor vehicle crashes involving youth and alcohol
- ✓ Number of calls to law enforcement complaining of activities related to underage drinking (e.g., fights)
- ✓ Number of emergency room admissions that involve alcohol
- ✓ Age of onset of alcohol use
- ✓ 30-day use of alcohol by youth
- ✓ Social disapproval of use
- ✓ Perception of risk or harm

VII. TRACKING THE NATIONAL OUTCOME MEASURES (NOMS)

Connecticut, like all SPF-SIG states, must provide data about the National Outcome Measures (NOMS) to the funder. The NOMS are designed to be measures that can be collected from every state. The NOMS include the last 4 measures presented above. Coalitions should be collecting data on the NOMS (at a minimum) and also looking at community level changes that are related to the consumption and consequences of youth alcohol use (e.g., youth DUI) as well as system-level changes that support and facilitate decreased use (changes in laws).The most common way to track the NOMS is through self-report youth surveys in the schools. Because these NOM measures are individually oriented outcomes for youth, the school setting is usually the most efficient way to gather this data. It will be important to consider how to collect these data at a local level, meaning in the coalition's community(s). State-level data, like those collected from the Youth Risk Behavior Surveillance System (YRBS), can provide general information for the state trends, but are not necessarily useful to describe local trends in schools. The state's YRBS data can be accessed at the following link. (http://www.cdc.gov/healthyYouth/YRBS.) The established questions for how to ask about the NOMS can be found at http://nationaloutcomemeasures.samhsa.gov/outcome/index_2007.asp

VIII.   DATA COLLECTION STRATEGIES

Student surveys will be useful to getting information for the NOMS. The critical aspect is to get access to this data at consistent points over time. This is necessary for describing the patterns (or trends) of the NOMS. However, there are other data collection strategies available especially for the community-level outcomes. Connecticut has a priority of reducing underage drinking, so naturally, tracking these data will be important to show the effectiveness of the community coalition's underage drinking prevention plan.

Data collection strategies such as key leader surveys, focus groups, case studies, telephone surveys, observations are all important ways to gather data. They should be used if the evaluation questions suggest that method is recommended. Information from the Learning Sessions by the CAPT as well as the information in the RAND Underage Drinking book provides information about how to use them.

When choosing data to be tracked over time (in addition to the NOMS) consider the data bases used at the beginning of the grant period when the community assessment was complete.   Most likely, there was the use of archival trend data. These data are usually collected at similar points in time for the same populations (e.g., youth under 21, gender, etc). Usually, there are national, regional, state, and local sources for this information that can be accessed. Examples include data from health departments, law enforcement agencies, schools, and RACS. These data are usually inexpensive to get and may be fairly easy to obtain.   Much of this data is in the epidemiological profiles completed by the RACS.

IX. AUDIENCES FOR THE EVALUATION

Once the data have been collected, analyzed, and results determined, it is important to present reports in ways that are understandable and easily communicated. This might include charts and graphs to visually display important information, and the use of anecdotes to help humanize the data. Evaluation data can build institutional, political, and community support for sustaining efforts. People are more likely to support to continuation of a plan if they can see that it is making a difference in their community.

Reporting Example 1

Dissemination Plan

Audience / Stakeholder	Reporting Method	Person Responsible / Date
Funder / State of CT.	Final Report Dissemination Plan	Project Director / May 2010
Police Chief	Exhibit Presentation	Evaluator/Project Director / June 2010
Board Members	Briefings Annual Report	Executive Committee / June 2010
General Public	Press Release Press Conference	Media Committee / June 2010
Community Groups	Brochures Posters	Outreach Committee / Sept. 2010
New Potential Funder	Fact Sheets Abstract	Funding Committee / Oct. 2010

Adapted from (1) Borden, Debord, and Snipes (2) Morris, Gibson, and Freeman
The timeline for the Connecticut reporting deadlines, including reports to the state, are included on Page 5 of this document.

Appendix A

Logic Model for Use in Connecticut SPF-SIG

Consumption/ Consequence	Causal Factors*	Inputs/ Resources	Strategies Activities	Outputs	Short Term Outcomes (Changes in Intervening Variables)	Long-Term Outcomes
Underage drinking	-Low Enforcement of Alcohol Laws and Policies -Retail Availability -Social Access -Alcohol Promotion -Low Commitment to School -Peer Norms that accept/encourage Drinking -Family Norms that accept/encourage Drinking -Low Perception of Harm of Drinking					--Reduction in 30-day alcohol --Reduction in age of onset --Increased perception of risk of alcohol use --Increased social disapproval of alcohol use --Increased social disapproval of alcohol use -- Reduce underage drinking arrests

- Causal factors vary, and should be selected from the list based on needs assessment data and the prioritization process

Appendix B

Compliance Checks
(Potential outputs for process evaluation)

_____ Number of meetings with key stakeholders
- Specify stakeholders (e.g., police personnel, school personnel, municipal officials

_____ Number of compliance check trainings for law enforcement or other key personnel
_____ Number of law enforcement officers or other key personnel trained in compliance checks
- Specify stakeholders

_____ Number of enforcement changes related to compliance checks (e.g., new areas patrolled, new tools utilized)
- Describe changes
- Describe role of coalition in facilitating change(s)

_____ Number of policy changes related to compliance checks (e.g., new laws of regulations)
- Describe changes
- Describe role of coalition in facilitating change(s)

_____ Number of stores pre-notified about compliance checks
_____ Number of warnings attributable to compliance checks
_____ Number of citations attributable to compliance checks
_____ Number of arrests attributable to compliance checks

_____ Number and types of media events about compliance checks
_____ Number and type of media events about results of compliance checks

_____ Number of compliance checks conducted
_____ Time of day checks were conducted
_____ Number of businesses checked
_____ Number of businesses that sold alcohol
_____ Number of businesses that checked ID and sold
_____ Number of businesses that did not ask for ID
_____ Number of businesses that did not sell
_____ Number of license holders issued administrative penalties
_____ Number of sales persons issued penalties
_____ Number of merchants/owners issued penalties
_____ Describe factors facilitated your ability to conduct compliance checks well.
- Describe how you plan to maintain these facilitators.
_____ Describe barriers that prevented your ability to conduct compliance checks well.
- Describe how you plan to overcome these challenges.
_____ Summarize the "story" of the enforcement strategy over this time period in 3-4 sentences.

Appendix B (continued)

Merchant Education
(Potential outputs for process evaluation)

_____ Number of meetings with key stakeholders
- Specify stakeholders (e.g., license authority, alcohol retailers, municipal officials)

_____ Number of training sessions for license commissioner or other key personnel

_____ Number of law enforcement officers or other key personnel trained
- Specify stakeholders

_____ Number of policy changes related to merchant education (e.g., mandated training for servers, package store clerks, managers and owners, server registration)
- Describe changes
- Describe role of coalition in facilitating change(s)

_____ Number of servers trained in merchant education (on premise)

_____ Number of clerks trained in merchant education (off premise)

_____ Number of owners/managers trained in merchant education (on/off premise)

_____ Types of merchant or employee incentives utilized

_____ Describe factors facilitated your ability to implement merchant education well.
- Describe how you plan to maintain these facilitators.

_____ Describe barriers that prevented your ability to implement merchant education well.
- Describe how you plan to overcome these challenges.

_____ Summarize the "story" of the retailer education strategy over this time period in 3-4 sentences.

Appendix B (continued)

Party Patrols
(Potential outputs for process evaluation)

_____ Number of meetings with key stakeholders
- Specify stakeholders (e.g., police personnel, school personnel, municipal officials)

_____ Number of training sessions for law enforcement or other key personnel (citizens)

_____ Number of law enforcement officers or other key personnel trained in party patrols
- Specify stakeholders

_____ Number of policy changes related to party patrols (e.g., adoption of ordinance, new tools utilized)
- Describe changes
- Describe role of coalition in facilitating change(s)

_____ Number of warnings attributable to party patrols

_____ Number of citations attributable to party patrols

_____ Number of arrests attributable to party patrols

_____ Number and types of media reached about party patrols prior to implementation?

_____ Number and types of media reached about party patrols after implementation?

_____ Number of scheduled party patrols
- Days and time periods of patrols

_____ Number of calls reporting parties

_____ Number of parties responded to

_____ Was tracking of party patterns conducted?

_____ Describe facilitators or what helped you to implement the enforcement strategy.
- Describe how you plan to maintain these facilitators.

_____ Describe barriers to implementing the enforcement strategy.
- Describe planned efforts to address barriers.

_____ Summarize the "story" of the enforcement strategy over this time period in 3-4 sentences.

Appendix B (continued)

Media
(Potential outputs for process evaluation)

Questions for each media campaign during this reporting period:
Reporting period _____
Name of campaign _____
If associated with a policy or enforcement strategy indicate name _____

_____ Hours of research conducted to develop mass media campaign
- Describe areas researched (e.g.: effective content, local data for inclusion in campaign, effective media channels, effective design, effective frequency, cost)
  _____ Number of tests of target audience's response to proposed messages
  - Describe how tests were conducted, number of participants, outcomes

_____ Number of planning meetings

_____ Hours spent developing media materials
- Describe how research was incorporated into material development

_____ Number of media materials developed (and targeted to whom?)
_____ Number of print ads
_____ Number of radio ads
_____ Number of television commercials
_____ Number of posters
_____ Time spent developing web site
_____ Number of billboards
_____ Number of promotional materials

Media
_____ Hours spent updating media contact list
_____ Hours spent monitoring the local medi
_____ Hours spent preparing for and participating in interviews
_____ Number of press releases written
_____ Number of media outlets to which press releases were sent
_____ Number of letters to the editor written
_____ Number of articles written
_____ Number of PSAs developed
_____ Number of person-to-person contacts with media representatives (calls, meetings, not including press conferences)
_____ Number of press conferences arranged
_____ Describe facilitators or what helped you to implement the media strategy.
- Describe how you plan to maintain these facilitators
_____ Summarize the "story" of the media campaign over this time period in 3-4 sentences

Appendix C1

<div align="center">

Responsible Beverage Service

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Effective RBS has three main components:
- *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.
- *Merchant education.* Goal is to 1) help merchants and servers/sellers understand state, community and establishment level alcohol and tobacco policies and potential consequences for failing to comply with such policies, and 2) provide the necessary skills to comply with these policies.
- *Partnership* with official from law enforcement, alcohol industry and local government.
  Source: Imm, P. Chinman, M., Wandersman, A., Rosenbloom, D., Guckenburg, S. & Leis, R. (2007). Preventing Underage Drinking; Using Getting to Outcomes with the SAMSHA Strategic Prevention Framework to Achieve Results.
  http://www.rand.org/pubs/technical_reports/TR403

Effective compliance checks:
- Are frequent
- Target outlets most likely to sell to minors (i.e., convenience and grocery stores)
- Target outlets that do not require trainings for clerks
- Target outlets that do not post signage about underage alcohol sales
- Utilize supervised and age-tested youth
- Publicize enforcement efforts to enhance extent to which compliance check programs and alcohol policies act as deterrents
- Penalize the establishment if an illegal sale is made
  Sources: Imm, P. Chinman, M., Wandersman, A., Rosenbloom, D., Guckenburg, S. & Leis, R. (2007). Preventing Underage Drinking; Using Getting to Outcomes with the SAMSHA Strategic Prevention Framework to Achieve Results.
  http://www.rand.org/pubs/technical_reports/TR403, and,
  Paschall, M.J., Grube, J.W., Black, C., Flewelling, R.L., Ringwalt, C.L. & Biglan, A. (2007). Alcohol outlet characteristics and alcohol sales to youth: Results of alchol purchase surveys in 45 Oregon communities.

Best practices for policies aimed at retailers and youth:
- Require that all alcohol outlet employees who are engaged in the sale or service of alcohol are at least 21 years of age.
- Provide proactive and comprehensive education and training programs for servers and sellers of alcohol.
- Impose strict administrative penalties on retail licensees for violation of laws against sales to minors. Penalties should increase in severity for repeated offenses.
- Include minor attempts to purchase alcohol in laws restricting minor access.
- Implement vigorous, well designed, fair and consistent retail compliance checks. Work with the community to build support for and awareness of the compliance check program.

Source: PIRE (2009). Preventing underage alcohol access; essential elements for policy, deterrence and public support. Downloaded, January 27, 2009, www.pire.org.

Recent Research Findings on Underage Drinking Prevention Strategies

- **Training alcohol servers in age perception may decrease underage alcohol sales**. In this study, 100 alcohol servers were shown photographs of 80 youth. Alcohol servers consistently over-estimated the ages of 13 to 16 year olds, and females ages' were more likely to be overestimated than males. *Willner, P., & Rowe, G. Alcohol servers' estimates of young people's ages. Drugs; education, prevention and policy, 8, 4, 375-383.*

- **Community awareness and support of environmental strategies is variable.** In a study of US public opinion toward alcohol policies in the year 2000, support for warnings on labels and for advertisements was highest (at about 90%), while support for interventions like prevention, treatment and responsible beverage service was at about 70%. Support for other strategies varied; raising minimum drinking age above 21 (25%), banning sales in corner stores (60%), higher alcohol taxes (35%), and restrictive hours of sale (32%). Generally, women and persons of lower socio-economic status reported higher levels of support for policies. Heavier drinkers were less supportive of policies in general, and ethnic minorities—especially Hispanics—were generally supportive of alcohol controls and raising taxes. *Greenfield, T.K., Ye. Y., & Giesbrecht, N.A. Views of alcohol control policies in the 2000 National Alcohol Survey; What news for alcohol policy development in the S and its States? Journal of Substance Use, 12, 6, 429-445.*

- **Communities that respond quickly to legalized Sunday sales can reduce negative effects**. This study focused on legalized Sunday packaged sales in New Mexico. Counties with communities that acted qickly to pass a local option to re-ban packaged sales on Sunday after the ban was lifted were able to mitigate the impact on alcohol-related crashes seen across the state. *McMillan, G. P., Hanson, T.E., Lapham, S.C. (2007). Geographic variability in alcohol-related crashes in response to legalized Sunday packaged alcohol sales in New Mexico. Accident Analysis and Prevention, 39, 252-257.*

- **Alcohol-involved assaults and accidents can be reduced through comprehensive community prevention**. Significant reductions in assaults and motor vehicle accidents were achieved from a comprehensive community prevention effort that included the following components: 1) mobilization to support the overall project, 2) community awareness, 3) responsible beverage service trainings, 4) underage-access law advocacy and 5) intoxicated-patron law enforcement. *Treno, A.J., Gruenewald, P.J., Lee, J.P. & Remer, L.G. (2007). The Sacramento neighborhood alcohol prevention project; Outcomes from a community prevention trial. Journal of Studies on Alcohol and Drugs, 68, 197-207.*

- **Coalitions that support tobacco compliance checks are also likely to support alcohol compliance checks**. In examining the factors within state and local agencies that promote alcohol compliance checks showed that commitment to age-of-sale laws in general was related to the frequent completion of both tobacco and alcohol compliance checks. Additionally, compliance checks were more common than Cops in Shops programs, and the agencies with a DARE officer were less likely to complete compliance checks. *Montgomery, J.M., Foley, K.L., & Wolfson, M. (2005). Enforcing the minimum drinking age; state, local and agency characteristics associated with compliance checks and Cops in Shops programs. Society for the Study of Addiction, 101, 223-231.*

- **Long-term and comprehensive interventions can substantially reduce traffic accidents and hospital admissions**. A long-term, community wide intervention in California reduced nighttime traffic injuries and hospital admissions due to traffic accidents, representing a savings of nearly 7 million dollars over approximately 3 years. The intervention consisted of; increased sobriety checkpoints, extensive media coverage, responsible beverage service trainings, and reduced access to alcohol at public events. *Roeper, P.J., Voas, R.B., Padilla-Sanchez, L.P., & Esteban, R. (2000). A long-term community-wide intervention to reduce alcohol-related traffic injuries; Salinas, California. Drugs: education, prevention and policy, 7, 51-60.*

- **Reliance on one-time manager training does not effectively prevent illegal alcohol sales to obviously intoxicated patrons**. While responsible beverage service trainings do show effectiveness in many areas of underage drinking prevention, this study shows that reliance on manager training alone was not sufficient for sustained prevention further alcohol sales to intoxicated persons and to reduce related alcohol problems. Specifically, training programs showed a 23% reduction in illegal sales in the month following the training intervention, but a return to baseline levels after three months. The researchers suggest training booster sessions combined with broader enforcement of illegal alcohol sale policies. *Toomey, T.L., Erickson, D.J., Lenk, K.M., Kilian, G.R., Perry, C.L., & Wagennar, A.C. (2008). A randomized trial to evaluate a management training program to prevent illegal alcohol sales. Addiction, 103, 405-413.*

- **Interventions and policies do not necessarily reduce illegal alcohol sales. This study examined the effectiveness of an intervention aimed at festival planners**. A training program on responsible beverage service practices was provided to festival planners and a community organizing campaign was undertaken. While the interventions were show to be feasible and for each of the four festivals that were included in the study, a written policy concerning alcohol sales was created, illegal alcohol sales at the festivals were not reduced. These interventions should be paired with other alcohol-reduction policies and enforcement efforts. *Toomey, T.L., Fabian, L.A., Erickson, D.J., Wagenaar, A.C., Fletcher, L., & Lenk, K.M. (2006). Influencing alcohol control policies and practices at community festivals. Journal of Drug Education, 36, 1, 15-32.*

Compiled by Dr. Pam Imm and Annie Wright
2/09 – CDC/RAND grant in South Carolina

Appendix C:

Fidelity Rubric: Responsible Beverage Server Training

Core Activity	Rationale	Missing 0	Weak 1	Strong 3	Score Comment
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.**	One entity (state, local or individual merchants) have policies to require specific training.	Two of the three entities have policies to require specific training.	All three entities (state, local or individual merchants) have policies to require specific training.	
Require that all alcohol outlet employees who are engaged in the sale or service of alcohol are at least 21 years of age.	Persons over the age of 21 are less likely to sell to persons under the age of 21.	There is no law requiring persons to be 21 in order to be at least 21 years of age.		There is a law requiring persons to be 21 in order to be at least 21 years of age.	
Impose strict administrative penalties on retail licensees for violation of laws against sales to minors. Penalties should increase in severity for repeated offenses.	Clear communication and enforcement of administrative penalties for outlets that sell creates a deterrent for sales and creates a motive for responsible beverage service.	Administrative penalties are not strict or not well imposed.	Administrative penalties are not imposed well or do not increase in severity.	Administrative penalties are strict, well imposed, and increase in severity.	
Require local merchant training opportunities when penalties are given (to outlets or individual servers/sellers).	When outlets are given an administrative penalty they are most motivated to send their employees to a merchant training and to address their beverage service policy and practices. A legal requirement to attend training along with a fine greatly increases likelihood of attending training, even if the server/seller has been fired.	Locally sponsored merchant training is not provided to/required of merchants following a penalty.		Locally sponsored merchant training is provided to/required of merchants following a penalty.	
2. Merchant Education	**Goal is to 1) help merchants and servers/sellers understand state, community and establishment level alcohol and tobacco policies and potential consequences for failing to comply with such policies, and 2) provide the necessary skills to comply with these policies.**	Local merchant training does not provide understanding of policies and consequences and provides skills to comply with policies (i.e. may be an in-house store training focusing on sales policies/procedures).	Merchant training provides information about policies and consequences but does not provide skills.	Local merchant training provides understanding of policies and consequences and provides skills to comply with policies.	
Train servers in local laws (knowledge)	Knowing the consequences of selling to minors can be a deterrent to sales.	Training does not include information on state and local laws/consequences.		Training does include information on state and local laws/consequences.	
Train servers in how to read an ID (skills)	Servers/sellers being able to recognize false ID can deter alcohol sales to minors.	Doesn't instruct on reading IDS.		Does instruct on reading IDS.	

Provide signage	Posting signage in an outlet (i.e. indicating that ID will be checked) reduces the likelihood of sales to minors. Develop and share these materials with merchants and servers/sellers attending merchant education trainings.	Training doesn't give signage for owners, manager servers/sellers to take with them.		Training provides signage for owners, manager servers/ sellers to take with them.	
Provide booster or follow-up training	One-time merchant trainings are less effective than trainings that provide booster or follow-up trainings.	Merchant training is one-time.	Merchant training provides one booster session.	Merchant training provides/requires ongoing training or recertification.	
Provide different trainings for on and off premise merchants	Checking ID and knowing the consequences of sales apply to on and off premise outlets. Other issues, such as selling to intoxicated persons apply more to on premise outlets and should be covered in more depth in those trainings. Tailoring the information to the audience helps increase attention and satisfaction with the training and therefore the likelihood that attendees will use the information presented.	Merchant training offers only one "module."	Merchant training offers one module for all attendees and adds information for on premise attendees.	There are separate on and off premise modules.	
Provide incentives to outlets than voluntarily provide training	Many outlets require merchant education classes after a sale has been made, often initiated by a legal citation stemming from a compliance check. To prevent sales, offer incentives—such as free training and positive media coverage—to outlets that require training of all new employees and ongoing training for current employees.	Merchants who attend or require training of their employees prior to an offense are provided no special incentives.		Merchants who attend or require training of their employees prior to an offense are provided special incentives.	
Train owners/managers on the development of a store policy for RBS.	The following activities should be part of training on store policy: • Minimum age for servers/sellers • Minimum number of people working at a given time • Directions for keeping a store/outlet log of negative alcohol-related events • Directions for having & using an age verification device • Clear store policy regarding consequence if a sale is made (preferable to keep an employee and send them to training instead of firing and having them go to their next job with no opportunity for training) • Distribute example policies at merchant training	Training does not include review of elements of an effective store policy to deter underage sales.	Training includes a review of some but not all elements of an effective store policy to deter underage sales.	Training includes all elements of an effective store policy to deter underage sales.	
3. Partnerships	**Partnership with official from law enforcement, alcohol industry and local government addresses alcohol sales to minors most effectively.**				
Conduct compliance checks	Implement vigorous, well designed, fair and consistent retail compliance checks. Work with the community to build support for and awareness of the compliance check program.				

Adapted from: Imm & Wright (2009): Underage Drinking Prevention Fact Sheer: Review of Responsible Beverage Service and Compliance Check Best Practices
Sources: Imm, P. Chinman, M., Wandersman, A., Rosenbloom, D., Guckenburg, S. & Leis, R. (2007). Preventing Underage Drinking; Using Getting to Outcomes with the SAMSHA Strategic Prevention Framework to Achieve Results. http://www.rand.org/pubs/technical_reports/TR403; PIRE (2009). Preventing underage alcohol access; essential elements for policy, deterrence and public support. Downloaded, January 27, 2009, www.pire.org.

Appendix C3

Responsible Beverage Service/ Merchant Education Training Reports

Please answer the following questions about your Responsible Beverage Service Training (i.e., merchant education) in your town or service area during the reporting period indicated below.

Reporting Period (start-end dates)	
Today's Date	
Your name	
Coalition name	

RESPONSIBLE BEVERAGE SERVICE TRAININGS	
1. How many merchant education trainings were held during this time frame?	Number of trainings held:
For each training held, please answer the following questions. When you have answered questions about each of the trainings held during this reporting period, please skip ahead to Section II, Compliance Checks.	
2. Date of merchant education training	Date:
3. Location of training	Location:
4. Total number of people attending training	Total number:
5. Of the total number, number of people attending training who were new employees	Number employees:
6. Of the total number, number of people mandated to attend training	Number mandated:
7. Scores on attitude/knowledge tests: 0-10% _____ 10-50% _____ 50-70% _____ 70-80% _____ 80-90% _____ 90-100% _____	(enter # scoring at each percentile)
8. Number of people passing training	Number passing:
9. What chains/outlets did training attendees work in and how many from each location attended? Chain/Outlet_____ #_____ Chain/Outlet_____ #_____ Chain/Outlet_____ #_____ Chain/Outlet_____ #_____ Chain/Outlet_____ #_____ Chain/Outlet_____ #_____ Chain/Outlet_____ #_____	(enter organization and #)

Merchant Education Trainings
Detailed merchant education training efforts
1) What factors helped you to implement merchant education trainings?
2) Describe how you plan to capitalize on these factors.
3) Describe barriers to implementing merchant education.
4) Describe planned efforts to address these barriers.
5) Summarize the "story" of merchant education efforts over this time period in 3-4 sentences.

Adapted from South Carolina's EUDL grant program by Dr. Pam Imm and Annie Wright for the CDC/RAND underage drinking grant

References for Responsible Beverage Services

Grube, J.W., & Nygaard, P. (2001). Adolescent drinking and alcohol policy. *Contemporary Drug Problems, 28,* 87-131.

Grube, J.W. (1997). Preventing sales of alcohol to minors: results from a community trial. *Addiction,* 92(suppl 2), S251-S260.

Wagenaar, A.C., Toomey, T.L., & Lenk, K.M. (2004/2005). Environmental influences on young adult drinking. *Alcohol Research & Health* 28(4): 230-235.

Toomey, T.L., Erickson, D.J., Fletcher, L.A., Patrek, W., & Wagenaar, A.C. (2005). Illegal alcohol sales and use of alcohol control policies at community festivals. *Public Health Reports* 120 (2): 165-172.

Wolfson, M., Toomey, T.L., Forster, Wagenaar, A.C., McGovern, P.G., & Perry, C.L. (1996a). Characteristics, policies, and practices of alcohol outlets and sales to underage persons. *Journal on the Studies of Alcohol*, 51: 670-674.

Wolfson, M., Toomey, T.L., Murray, D.M., Forster, J.L., Short, B.J., & Wagenaar, A.C. (1996b). Alcohol outlet policies and practices concerning sales to underage people. *Addiction*, 91(4), 589-602.

Appendix D: Fidelity Rubric: Compliance Checks

Core Activity	Rationale	Missing 0	Weak 1	Strong 2	Score Comment
Determine if any laws in your state require involvement of law enforcement in compliance checks	In some states, it is illegal to conduct compliance checks without law enforcement. Communities implementing a compliance check strategy need to determine if law enforcement officials are required to participate.	Did not find out if law enforcement is required for compliance checks		Determined if law enforcement is required	
Decide if compliance checks are for data collection purposes or will also include law enforcement.	The manner in which a compliance check is conducted varies depending on whether the purpose is strictly for data collection or if it will also include law enforcement. Deciding this early in the implementation process will ensure a successful intervention.	No decision was made as to purpose of compliance checks.		Decision was made as to purpose of compliance checks.	
Identify law enforcement officers to participate in the program. (If law enforcement purpose is decided.)	Selecting officers who are interested in this type of specialized work may lead to a more successful intervention.	Law enforcement officers are not identified to participate in the program.	Law enforcement officers are identified to participate in the program.	Law enforcement officers with a specific interest in ATOD prevention are identified to participate in the program.	
Develop a written protocol for selecting retailer sites. Selection may be based on random selection, stratified selection within a region, based on type of outlet, or another selection strategy. (I A)	A written site selection policy will help ensure sites are selected fairly and certain types of retailers or locations are not targeted for compliance checks.	No written protocol is developed for selecting retailer sites for compliance checks.		A written protocol is developed for selecting retailer sites for compliance checks	
Review plan with prosecutors, licensing officers, and city/town council/board.	In order for compliance checks to be successful, a community must have the full support of those involved in the process, including those who will be prosecuting the offenders, those who work with the alcohol and tobacco retailers, and those elected officials who are responsible for implementing policy.	The plan is not reviewed with prosecutors, licensing officers, or city/town council/board members.	The plan is reviewed with 1 of the individual / groups listed, but not all.	The plan is reviewed with 2 or more of the individuals / groups listed.	
Utilize the media to provide prior notice to the community about upcoming enforcement tactics.	Although one goal of compliance checks is to either collect data or hold those responsible for selling alcohol and tobacco to underage youth, another goal is publicizing the law and penalties for selling to minors. The threat of compliance checks can often be enough to encourage responsible behavior among retailers.	The community is not notified by the media about the upcoming enforcement tactics.		The community is notified by the media of upcoming enforcement tactics.	
Recruit underage youth to conduct the activity.	Research indicates that buyers age 18 to 19 for alcohol is ideal. Buyers should not try to appear older. They should look and act like a typical underage youth. In addition, research indicates that paid buyers may be more successful than volunteers, especially if retailers will be prosecuted. Paid buyers commit to time in court, and are not viewed as having an agenda, as volunteers might.	Underage youth are not recruited for the activity.		Underage youth are recruited for the activity.	

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Train buyers and law enforcement or lay escorts.	Trained buyers and escorts (either law enforcement or lay) will be better able to deal with any challenges. In addition, trained individuals who follow a written compliance check protocol are more credible. This credibility is important in reporting data or in prosecuting retailers.	No training is conducted for buyers, law enforcement, or lay escorts.	Compliance check participants provided with written material to review for training.	In person training by qualified trainer is conducted for buyers, law enforcement, & lay escorts	
Prepare site packets.	Documenting the logistics of the compliance check ensures that each compliance check is the same each time	Site packets not prepared.		Site packets prepared	
Plan Routes		Routes not planned		Routes planned	
Obtain and Prepare evidence containers		No prepared evidence containers		Prepared evidence containers	
Prepare written reports/documents	Documentation of findings of the compliance check is important. Formal documentation will ensure credibility and reliability in reporting data or in prosecuting retailers.	Written reports/documents not prepared.		Written report/document prepared	
Submit written reports / documents	Formal documentation of findings must be submitted to the proper individuals to ensure they are used.	Written reports/documents not submitted		Written report/document submitted.	
Communicate findings with businesses and community.	If findings from the compliance checks are positive, then it benefits the retailers/community to publicize those results to encourage continued compliance. If the results were not positive, these findings need to be publicized to help ensure retailers understand the importance of complying with laws and regulations about selling alcohol to minors and consequences if these laws and regulations are not followed.	Findings communicated to businesses and community		Findings not communicated to businesses and community	
Ensure institutionalization of this strategy by: 1) developing an organizational policy to be adopted by participating organizations OR formalizing the strategy into a local /state law /regulation; and 2) identifying funding to ensure the strategy & enforcement can continue.	This strategy will be most effective if it is an ongoing activity and not just a one shot activity. Working to ensure the strategy is institutionalized will ensure this prevention effort is continued.	Have not worked to ensure institutionalization of the strategy.	Only addressed one aspect of institutionalization	Addressed both aspects of institutionalization	
Additional Core Activities Please describe and provide potential fidelity measure scores					

Adapted from: Assessing the Fidelity of Implementation of the Strategic Prevention Framework in SPF SIG-funded Communities, Users Guide and Fidelity Rubric, Version 2, 4/30/2008

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Appendix D1: Sample Logic Model for Compliance Checks

Goal: To reduce the level of current (30 Day) alcohol use among 9th-12th grade students in Hartford
Objective: To reduce the percentage of high school aged youth in Hartford who gain access to alcohol through commercial outlets from 20% to 10% by the fourth year of the project in June 2010

Inputs *Resources*	Activities *Strategies*	Outputs *Process Measures*	Short-term Outcomes *1-3 Years*	Long-term Outcomes *4-6 Years*
X % of salaries of project coordinator X % of salary of staff Police stipend or overtime pay Youth stipends Training expenses Printing Compliance Checking Manuals Mailing expenses Training expenses Operating expenses	Meetings with stakeholders Educational Sessions for Law Enforcement Educational Sessions for Youth Prepare/ send media announcement Conduct checks Conduct follow-up checks Letters to businesses Work with Police chief/license authority to create policy	X number of meetings with key stakeholders X number of education sessions for law enforcement or other key personnel X number of law enforcement officers or other key personnel educated X number of warnings attributable to enforcement strategy X number of citations attributable to enforcement strategy X number of businesses that were pre-notified of checks X number of compliance checks conducted X number of follow-up compliance checks conducted X number of businesses checked X number of businesses that sold alcohol X number of businesses that checked ID and sold X number of businesses that did not ask for ID X number of businesses that did not sell X number of license holders issued administrative penalties X number of sales persons issued penalties	**Short Term** (1-3 Years) An Increase in ID Checking by 10% in package stores An increase in the number of citations An increase in vendor knowledge of state liquor laws A reduction in the percentage of stores that fail compliance checks from 35 % in 2007 to 10% in 2009. A review of administrative penalties by the licensing authority and the commissioners to assess the effectiveness of current administrative penalty schedules and make recommendations for modifications. **Long Term** (4-6 Years) A local ordinance increasing the fine for compliance violations. A reduction in the percentage of 11th and 12th grade students who indicate bars, restaurants, and package stores as a primary source of alcohol from 20% in 2007 to 5 % in 2012	**A reduction in current use of alcohol by 9-12th graders from 45% to 35 % by the end of the project June 2012** **A reduction in binge by 9-12th graders from 27% to 22 % by the end of the project June 2012.**

SAMPLE: **Compliance Checks**	Adapted from W.K Kellogg Foundation

Tracking/Summary form for Compliance Checks

COMPLIANCE CHECKS AT ON-PREMISE LOCATIONS	
1. Total number of **on-premise** alcohol establishments checked during this reporting period.	Number checked:
2. Number of on-premise alcohol establishments checked during this reporting period *that were in compliance*	Number in compliance:
3. During this reporting period, did you notify all outlets of checks?	Yes or no:
4. Number of on-premise alcohol establishments that were pre-notified of checks during this reporting period	Number pre-notified:
5. What was the typical method of pre-notifying about checks?	Typical method:
6. Number of on-premise alcohol establishments that were notified **of checks' results** during this reporting period	Number notified:
7. What was the typical method of notifying about checks' results?	Typical method:
8. Were PREP materials distributed to the person who was cited at the time the violation was issued?	
9. Number of on-premise establishments warned during this reporting period	Number warned:
10. Under what circumstances were warnings issued?	
11. Number of on-premise establishments cited during this reporting period	Number cited:
12. Number of persons taken into custody during an on-premise check	Number taken into custody:
13. Number of sales persons at all on-premise sites issued penalties during this reporting period	Number issued:
14. Number of on-premise license holders issued administrative penalties during this reporting period	Number issued:
15. Of all the checks of on-premise establishments made during this reporting period, total number of tickets given	Number issued:

COMPLIANCE CHECKS AT OFF-PREMISE LOCATIONS	
1. Total number of **off-premise** alcohol establishments checked during this reporting period.	Number checked:
2. Number of off-premise alcohol establishments checked during this reporting period *that were in compliance*	Number in compliance:
3. During this reporting period, did you notify all off-premise outlets of checks?	Yes or no:
4. Number of off-premise alcohol establishments that were pre-notified of checks during this reporting period	Number pre-notified:
5. What was the typical method of pre-notifying about checks?	Typical method:
6. Number of off-premise alcohol establishments that were notified of checks' results during this reporting period	Number notified:
7. What was the typical method of notifying about checks' results?	Typical method:
8. Were PREP materials distributed to the person who was cited at the time the violation was issued?	
1. Number of off-premise establishments warned during this reporting period	Number warned:
2. Under what circumstances were warnings issued?	
3. Number of off-premise establishments cited during this reporting period	Number cited:
4. Number of persons taken into custody during an off-premise check	Number taken into custody:
5. Number of sales persons at all off-premise sites issued penalties during this reporting period	Number issued:
6. Number of off-premise license holders issued administrative penalties during this reporting period	Number issued:
7. Of all the checks of off-premise establishments made during this reporting period, total number of tickets given	Number issued:

All Compliance Checks During Reporting Period (On and Off Premise)	
1. How many youth were used to make compliance checks during this reporting period?	Number of youth:
2. Number of youth who were age tested	Number tested:
3. Number of youth who were age tested to be between $17^{1/2}$ -$19^{1/2}$	Number $17^{1/2}$ -$19^{1/2}$

4. What prompts your agency to visit an Alcoholic Beverage Outlet (ABO)?
    (Check **all** that apply)
    ☐   Complaint received
    ☐   Routine procedure
    ☐   Were caught selling to minors before
    ☐ Other: _____	

Compliance Checks
Details of Compliance Check efforts
1) What factors helped you to implement Compliance Checks?
2) Describe how you plan to capitalize on these factors.
3) Describe barriers to implementing Compliance Checks.
4) Describe planned efforts to address these barriers.
5) Summarize the "story" of Compliance Check efforts over this time period in 3-4 sentences.

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CT SPF Strategic Evaluation Guidance Document

Appendix E: Fidelity Rubric for Party Patrols

Core Activity	Rationale	Missing 0	Weak 1	Strong 3	Score Comment
Establish a relationship with the agency that has primary responsibility for responding to calls for parties.	Learning how law enforcement agencies are structured and how they operate helps in the development of realistic strategies they can employ.	Relationship with law enforcement agency not established.		Relationship with law enforcement agency established.	
Establish a relationship with an Alcohol Unit with law enforcement, if appropriate.	Establishing a relationship with an Alcohol Unit will ensure those who are specially trained in dealing with alcohol violations are involved in the activity.	No relationship with Alcohol Unit established.		Relationship with Alcohol Unit established.	
Establish a relationship with high schools and a local college or university, if appropriate. (P KP)	* This core activity was not identified in the literature, but was recommended for inclusion by experts in the field. High school and college students may engage in underage drinking at parties in residential homes. It is helpful to establish a relationship with the schools and colleges in your community to ensure open communication between all involved.	No relationship with high schools, college or university established		Relationship with high schools, college or university was established.	
Create a "party buster hotline" so that people may report information on underage drinking parties and publicize the hotline.	A hotline will allow for improved prevention of underage drinking parties.	Party buster hotline not established.	Party buster hotline established.	Party buster hotline established and is publicized in the community.	
Establish procedures for controlled dispersal that include: surveillance, traffic monitoring, scene security, and processing and training officers in following the procedures.	A clear plan will allow for a safe and orderly party dispersal.	No controlled dispersal procedures developed.	Controlled dispersal procedures developed, but are not documented and/or officers are not trained in the procedures.	Controlled dispersal procedures developed and documented and officers are trained in the procedures.	
Establish an alcohol citation database to track the number and type of alcohol citations issued.	A database allows communities to determine if specific areas are having more trouble with underage drinking parties than others so they may be targeted for additional enforcement and prevention.	Alcohol citation database not created.	Alcohol citation database created, but citations not entered regularly, or in a timely manner.	Alcohol citation database created, and citations entered regularly and in a timely manner.	

Utilize the media to increase awareness and gain support.	Youths may be dissuaded from drinking if they are aware underage drinking laws are being enforced.	Media not utilized.	Limited use of the media to publicize activities.	Media actively used to publicize activities and gain awareness on a regular, ongoing basis.	
Work to ensure institutionalization of this strategy by: 1) developing an organizational policy that can be adopted by participating organizations OR formalizing the strategy into a local or state law or regulation; 2) working to ensure enforcement of the strategy; and 3) identifying sources of funding to ensure the strategy and enforcement of the strategy can continue.	This strategy will be most effective if it is an ongoing activity and not just a one shot activity. Working to ensure the strategy is institutionalized will ensure this prevention effort is continued.	Have not worked to ensure institutionalization of the strategy.	Only addressed 1 or 2 aspects of institutionalizati on	Addressed all 3 aspects of institutionalization.	
Additional Core Activities Please describe and provide potential fidelity measure scores:					
Additional Core Activities Please describe and provide potential fidelity measure scores:					

Adapted from: Assessing the Fidelity of Implementation of the Strategic Prevention Framework in SPF SIG-funded Communities, Users Guide and Fidelity Rubric, Version 2, 4/30/2008

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Appendix F: Fidelity Rubric for Social Marketing

Core Activity	Rationale	Missing 0	Weak 1	Moderate 2	Strong 3	Score Comments
Mass media/social marketing/social norms plan has been written and documented and identifies: 1) goals and objectives; 2) the target audience; 3) behaviors or norms targeted; and 4) strategy to be used.	A written plan ensures that a strategy has been thought out and that key aspects of the campaign have been considered. This process will help assess readiness to implement a mass media campaign strategy and ensure that it is well researched and well designed.	No plan written.	Plan in place, but only addresses 1 of the 4 components.	Plan in place, but only addresses 2 or 3 of the 4 components.	Plan in place, and addresses all 4 components.	
Formative research conducted to understand and test the target audience responses to the messages, media channels (web, TV, billboards, person to person, etc.), and messenger	Formative research on the actual message, medium, spokesperson, etc., ensures that the message is credible with the target audience. In addition, formative research should be conducted with non target audience to ensure that the campaign does not have any unintended consequences.	No formative research conducted.	Formative research conducted on 1 of the 3 components.	Formative research conducted on 2 of the 3 components.	Formative research conducted on all 3 components.	
Collect and report local data to reinforce message prior to, and after the campaign.	The use of local data will help ensure that the target population believes or buys into the message. Data from other areas/schools/regions allow target populations to think that the data do not apply to them.	No data collected.	Non local data reported.	Data collected, but not reported, or only reported prior to OR after the campaign.	Local data collected and reported both prior to, and after the campaign.	
Campaign employs multiple media channels.	The use of multiple channels helps reinforce the message. The more frequently a message is viewed, the more opportunity it has to be processed by the target population.	Campaign not implemented.	Campaign employs 1 media channel.	Campaign employs 2 media channels.	Campaign employs 3 or more media channels.	
Research (literature review, focus groups, testing with surveys, etc.) conducted to determine appropriate frequency of exposure for target audience.	The appropriate frequency of exposure will vary depending on the channel, purpose of the campaign, and other factors. Researching the appropriate level of exposure will ensure a successful campaign.	No research conducted on appropriate frequency of exposure for target audience.			Research conducted to determine appropriate frequency of exposure.	
Message repeated appropriately, as determined by research.	The campaign should be repeated to ensure message retention. The frequency of exposure should be implemented according to the research results.	Campaign message not repeated.	Message repeated, but less frequently than research suggests will result		Message repeated at frequency research suggests is appropriate to ensure success	

Additional Core Activities Please describe and provide potential fidelity measure scores					
Additional Core Activities Please describe and provide potential fidelity measure scores :					

Adapted from: Assessing the Fidelity of Implementation of the Strategic Prevention Framework in SPF SIG-funded Communities, Users Guide and Fidelity Rubric, Version 2, 4/30/2008
Sources:Haines, M. P., Perkins, H. W., Rice, R. M., and Barker, G. (2005). A Guide to Marketing Social Norms for Health Promotion in Schools and Communities . National Social Norms Resource Center. http://www.socialnorms.org/pdf/Guidebook.pdf   Higher Education Center. (12/12/2002).
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Appendix F1

Media Advocacy Tracking Form

Number of any earned media coverage episodes/events that occurred related to EUDL/AET strategies or activities during the reporting period.	
1. Total op-ed articles about strategies other than Compliance Checks/RBS	Number:
2. Letters to the Editor about other strategies	Number:
3. Interviews about other strategies (person-to-person contacts with media 4. representatives such as calls, meetings, not including press conferences)	Number:
5. Events about other strategies that draw coverage (e.g., press conference)	Number:
6. Public Service Announcements about other strategies aired	Number:
7. Public Service Announcements about other strategies printed	Number:
8. Appearance on broadcast news or issues programs (television) about other strategies	Number:
9. Media outlets in which press releases about other strategies appear	Number:
10. Advertisements about other strategies placed	Number:
11. Materials about other strategies distributed	Number:
12. Media personnel contacted about other strategies	Number:
13. Total number of billboards about other strategies currently posted in your county or service area	Number:
14. New billboards about other strategies displayed (newly posted during this reporting period)	Number:
15. Internet related media episodes/events about other strategies	Number:

Media Advocacy
Details regarding media advocacy efforts
1) What factors helped you to implement media advocacy strategies?
2) Describe how you plan to capitalize on these facilitators.
3) Describe barriers to implementing Media Advocacy.
4) Describe planned efforts to address these barriers.
5) Summarize the "story" of Media Advocacy efforts over this time period in 3-4 sentences.

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