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Policy and Systems Change:
A Comprehensive Framework for Successful Advocacy

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UNCOMMON
SOLUTIONS

Policy and Systems Change: Continuum Exercise
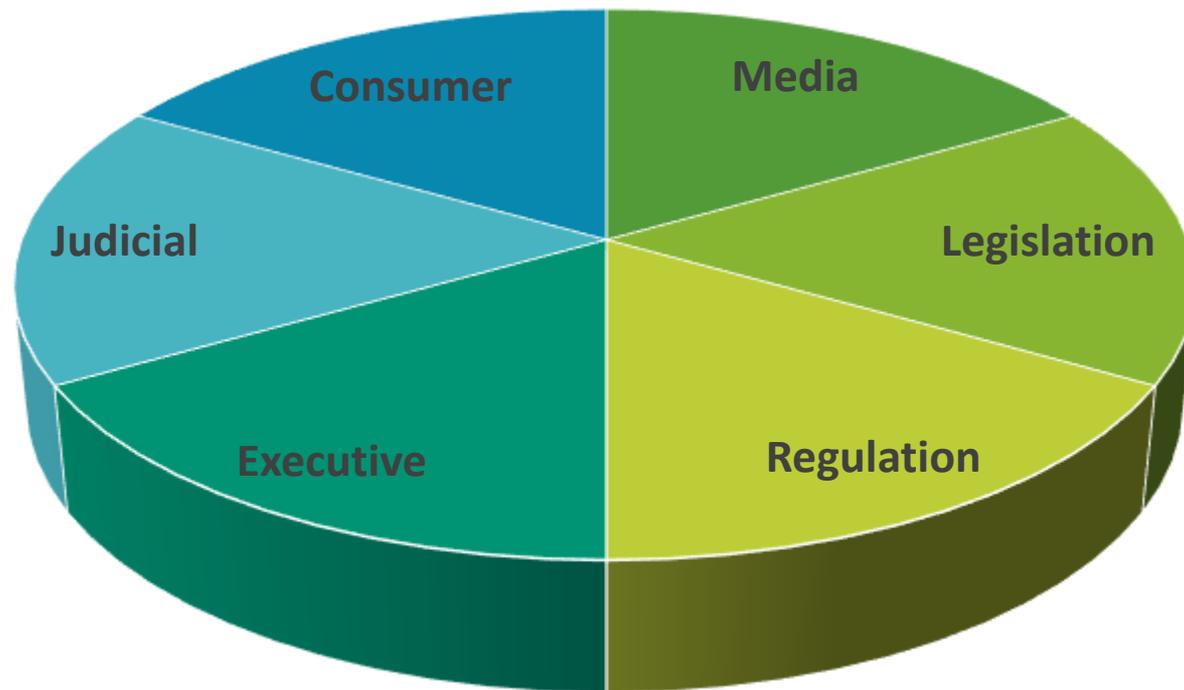
YES   OFTEN   SOMETIMES   RARELY   **NO**

Learning Objectives

Gain greater knowledge of a specific policy development framework

Strengthen knowledge and skills in how to be a stronger influencer (or support those that will engage in this work)

Definitions & Relationships:
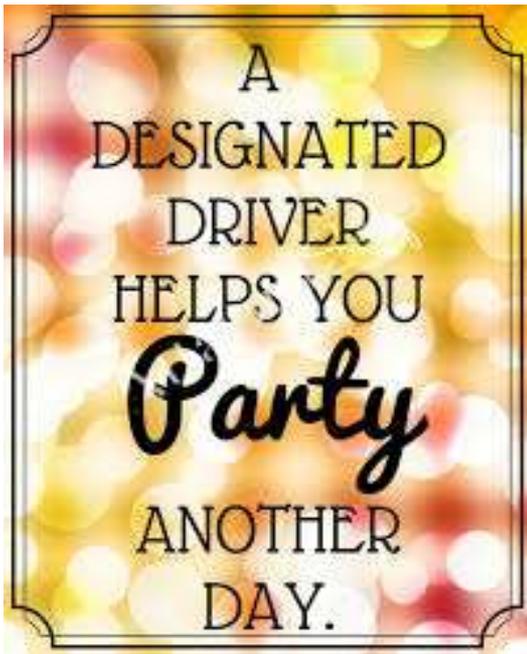## TYPES OF ADVOCACY

Key Definitions

Defining Policy

Defining Norms

Norms: an expected way of doing things

Respiratory Etiquette

Norms for Youth Use -- Current

Since legalizing marijuana in 2012, Colorado has had no increase in youth marijuana usage. Neither has Washington.

weedmaps

OUTFRONT

Norms for Youth Use-- Aspirational

Defining Systems Change

Systems Change -- Examples

- Clinical protocols in schools (i.e., asthma)

- Worksite wellness (leadership, personnel, mid-management)

Defining Environmental Prevention

Marijuana, like Alcohol and Tobacco, is Not an Ordinary Commodity

➢ Our market system is suited to ordinary commodities.

➢ The industry will not market marijuana in a way that naturally protects public health and safety, particularly for young people.

➢ A marijuana control system needs to be carefully planned and maintained.

The Marijuana Industry:
An Emergent Lobbying Force

Past experience with developing strong regulatory systems for alcohol, tobacco and food industries provide a cautionary tale

Current Entrepreneurial Energy

The Fastest Growing Industry:
Projected Value of the Legal Marijuana Market

▶ North American Legal Cannabis Spending 2015-2021

Billions of dollars

	$25 BILLION
	$20 BILLION
	$15 BILLION
	$10 BILLION
	$5 BILLION
	$0

Year	Adult Use	Medical
2015	970M	4.0B
2016	1.8B	4.9B
2017	2.5B	5.68B
2018	4.2B	7.0B
2019	7.6B	7.0B
2020	10.7B	7.3B
2021	14.9B	7.7B

■ Medical   ■ Adult Use
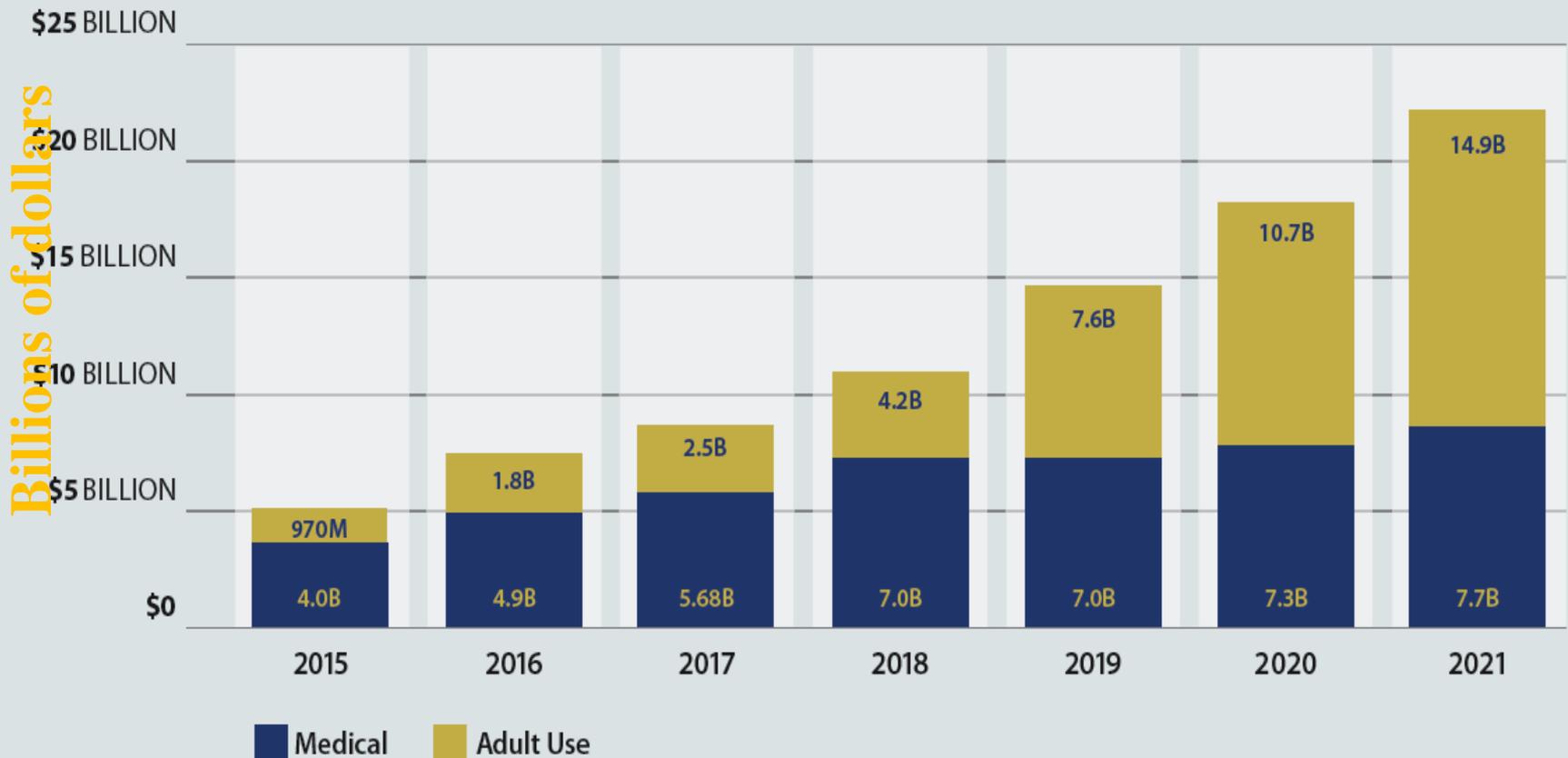
Comparison to Other Surges in Major Growth Industries

▸ 5-Year Growth in $5-Billion-Plus-Industries

Legend: Basic Cable '86 | Home Video '88 | Legal Cannabis '16 | Broadband Access '02
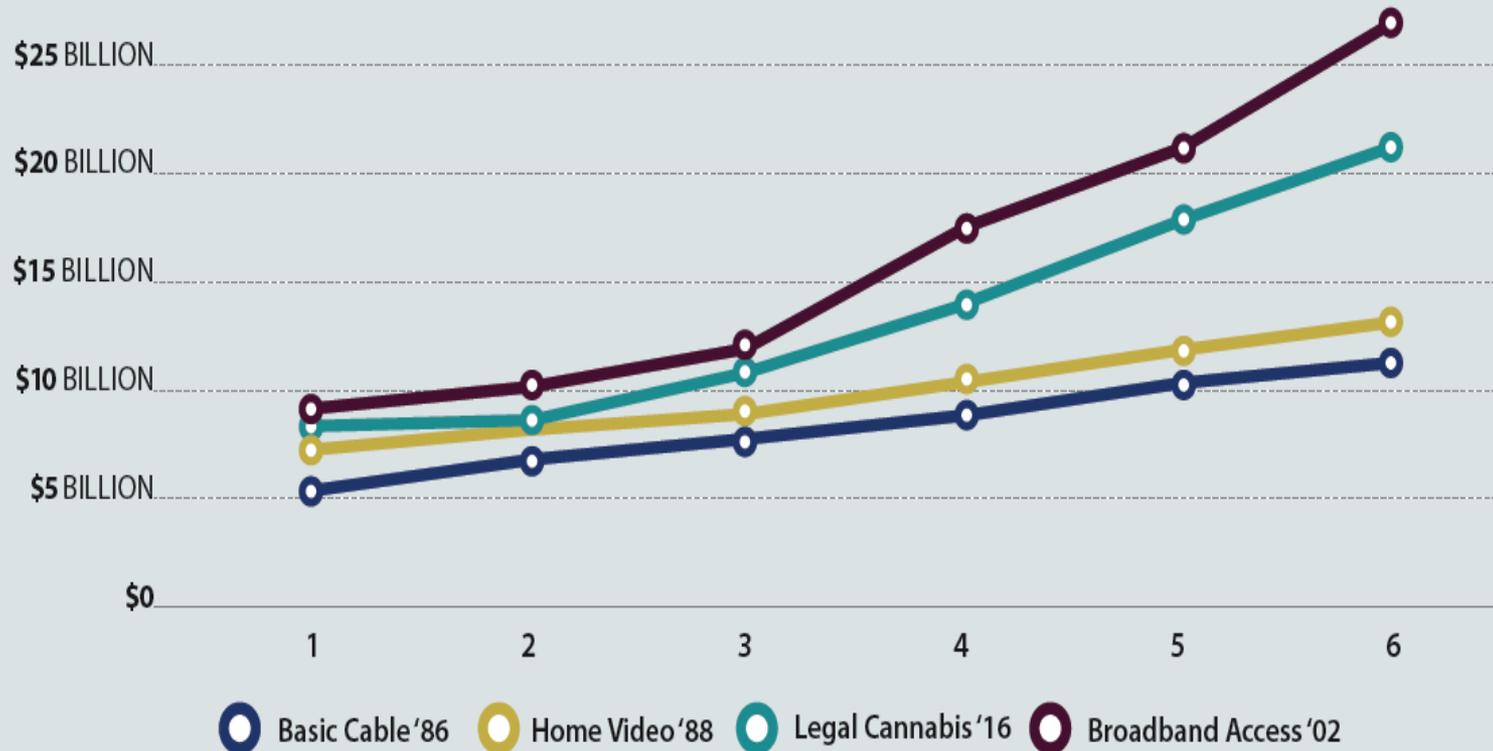
Cannabis Investment Opportunities

"The Green Fund is a comprehensive group of qualified small cap public companies in the emerging hemp and medical marijuana sectors. … Forget the gold rush. A billion dollar $$$ pot green rush. **Legal marijuana, the next great American industry.**"

Underage Consumption:
Critical Component of the Alcohol, Tobacco and Marijuana Markets

Those who begin drinking before age 15 are four times more likely to become heavy consumers than those who wait until age 21.

Source: National Research Council/Institute of Medicine (2004); SAMHSA (2013)

Looking "Upstream"

Instead of solving the problem you go upstream and alter the system so that the problem does not occur in the first place." – Edward De Bono

Policy and Systems Change: More Juice For The Squeeze
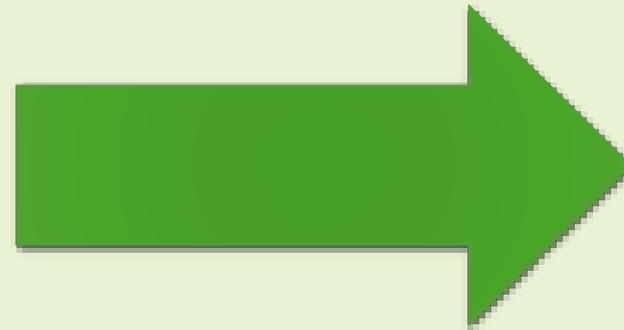
Factors That Influence Health
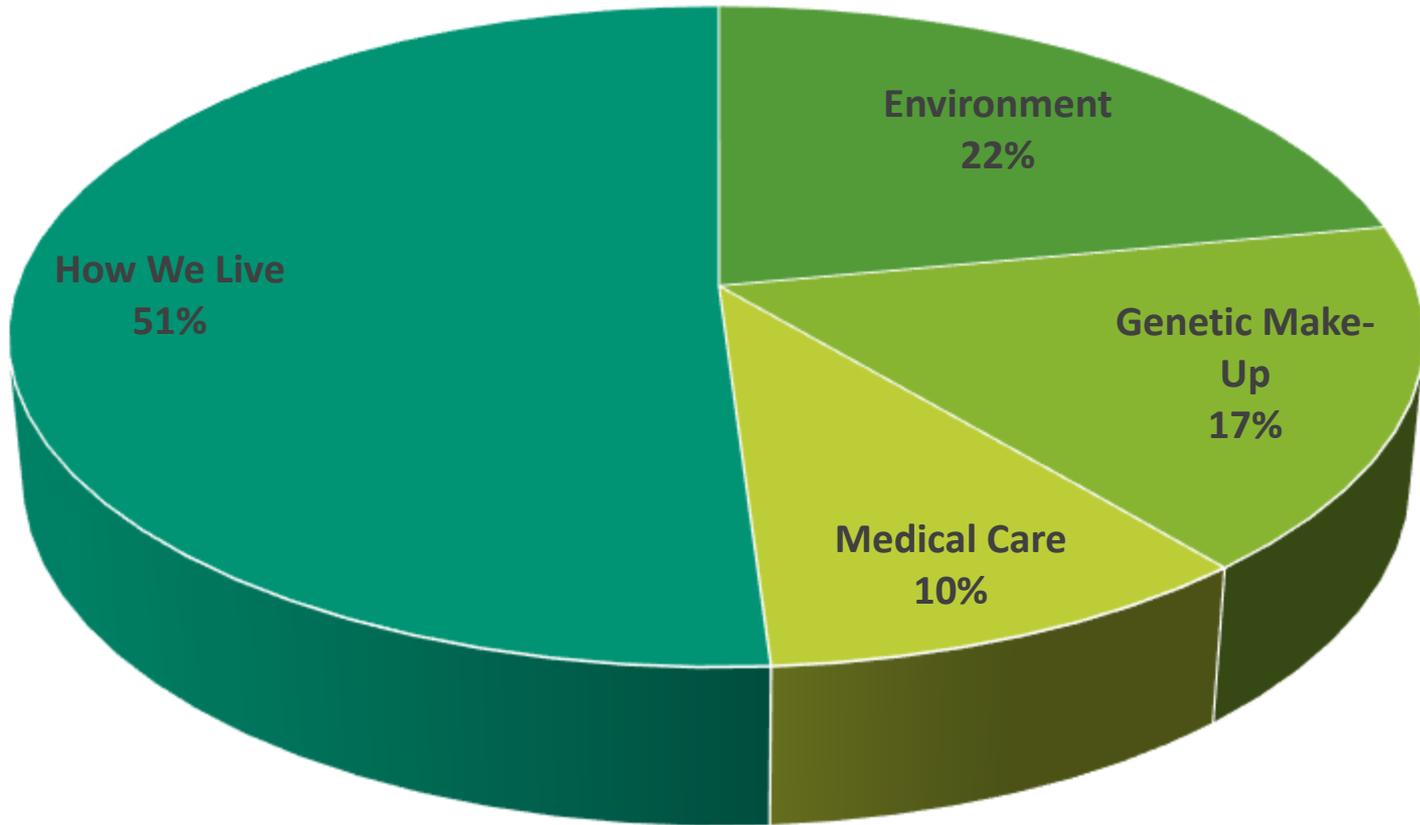
Social Determinants of Health
Defined

The biological, behavioral, economic, physical, environmental, and political factors that shape the health of individuals, communities and jurisdictions.

Figure 1

Social Determinants of Health

Economic Stability	Neighborhood and Physical Environment	Education	Food	Community and Social Context	Health Care System
Employment	Housing	Literacy	Hunger	Social integration	Health coverage
Income	Transportation	Language	Access to healthy options	Support systems	Provider availability
Expenses	Safety	Early childhood education		Community engagement	Provider linguistic and cultural competency
Debt	Parks	Vocational training		Discrimination	
Medical bills	Playgrounds	Higher education		Stress	Quality of care
Support	Walkability				
	Zip code / geography				

Health Outcomes

Mortality, Morbidity, Life Expectancy, Health Care Expenditures, Health Status, Functional Limitations

SDOH Defined:
Essential Public Health Services

Public Health Roles	Examples of How SDOH Thinking Can be Deployed
Monitoring of health status	Include SDOH measures as basis for determining and addressing community health issues
Mobilize community partnerships	Engage and collaborate with community members and non-traditional partners (i.e., housing, law enforcement, economic development
Link people to needed personal health services	Educate community members about their eligibility for various entitlement programs
Support plans and policies that support stronger individual health status	Look at non-health sectors, like • safe/affordable housing that can reduce risk for asthma, lead poisoning, homelessness • Full-day kindergarten that can reduce adverse health prospects like teen pregnancy

What are Health Inequities?
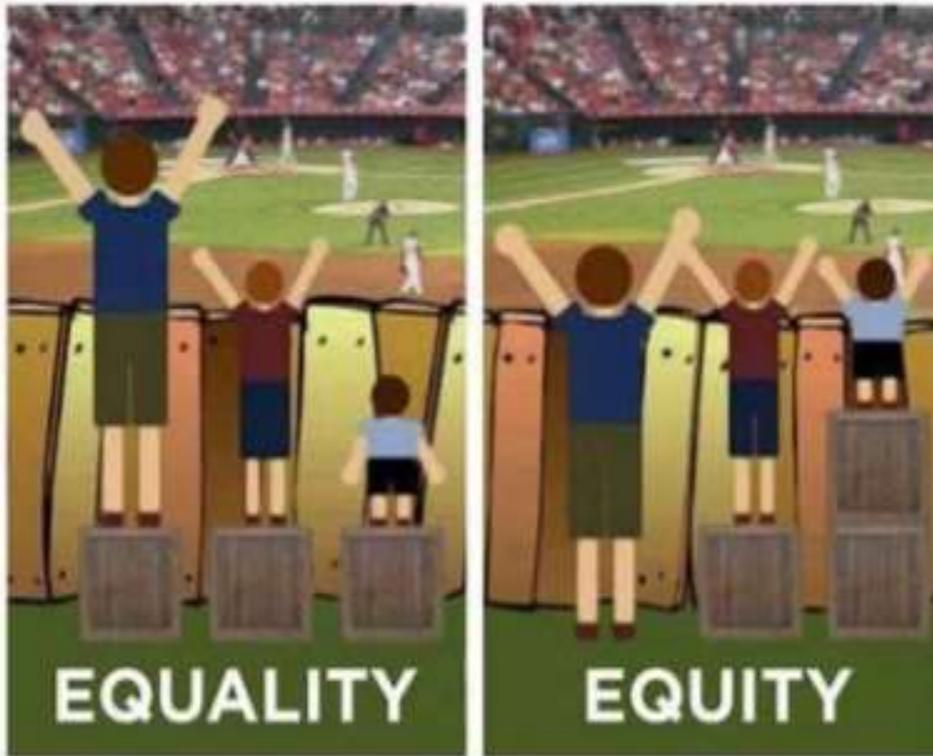
- **Equality = SAMENESS**
  - Only works if everyone starts from the SAME place

- **Equity = FAIRNESS**
  - Making sure people get access to the same opportunities

What is Health in All Policies?

Health in All Policies (HiAP) is a collaborative approach that integrates health considerations into policymaking across sectors to improve the health of all communities and people.

HiAP recognizes that health is created by a multitude of factors beyond healthcare and, in many cases, beyond the scope of traditional public health activities.

That is *So* 20th Century Public Health:

- Health promotion

- Maternal and child health services

- Providing immunizations

- Running primary care clinics
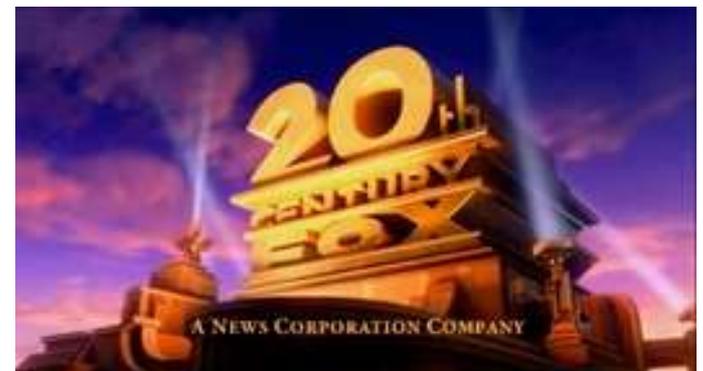
21ˢᵗ Century Public Health Also Includes:

- transportation
- land use and planning
- agriculture
- parks and recreation
- education
- retail environments

Spectrum of Prevention

Influencing Policy & Legislation

Changing Institutional Practices

Fostering Coalitions & Networks

Educating Providers

Promoting Community Education

Strengthening Individual Knowledge & Skills

"Beyond Brochures"

Topic Area	Activities/Program	Policy & Systems Change Component
Employee Health & Productivity	**Wellness Fair**	**Nutritional Standards**
Changed Behavior		
Reach		
Cost		
Sustainability		

Beyond Brochures Exercise

Policy and Systems Change – Rationale "Beyond Brochures"

Activity (Program) Focus	Policy & Systems Change Focus
One -time	Ongoing
Intended to learn behavior change	Intended to change behavior
Supports individuals	Influence environments that support individuals
Ongoing operational cost	One-time cost
Non-Sustaining	Sustainable

Policy and Systems Change – The Challenges of Moving Upstream

If research and experience tells us that these "upstream" approaches are the way to go why is our field so slow to move in that direction?

'You can't expect to see change if you never do anything differently.'

Moving From
Theory To Practice

POLICY AND SYSTEMS CHANGE (PSC) FRAMEWORK

1 BUILD Partnerships	2 IDENTIFY the issues	3 DETERMINE Options	4 REVIEW Feasibility	5 DEVELOP Advocacy Plan	6 IMPLEMENT and Enforce	7 EVALUATE Outcomes
Who is involved and how?	Should something be done?	What should be done?	Can it be done?	How to get the idea into play?	How to make the PSC idea cone alive?	What happened? What difference did it make?
Partnerships are core to all states of PSC development Community identification Shared goal Coalition building •*Leadership development* •*Establishing broad stakeholder base* •*Role clarity in advocacy and lobbying*	Is there a problem? What are the contributing factors? Is the data compelling (burden of the problem)? Urgency and timing What happens if it is not addressed (societal costs)? Assessing health equity (does it unequally impact the population?)	Chose both type and level of PSC needed Collect proven and actionable strategies Assess evidence-base and cost-benefit (ROI) Check biases and assumptions of key partners	Prioritize your PSC strategies based on the criteria below Political •*Assess political climate & readiness* Programmatic •*Level of complexity?* •*Who will implement?* •*Enforcement: who/how?* •*Can impacts be measured?* Social •*Connection to local values* •*Magnitude of impact on the community* •*Unintended consequences*	Know your authorizing environment •*Capacity and resources* •*Lobbying vs. advocacy* Choose your PSC pathways Develop PSC Action Statement Smart Advocacy •*Frame your message; develop clear pitch* •*Create a movement* •*Deploy champions*	Implementation planning •*Ensure adequate resources* •*Deploy media to educate about policy* •*Assure collection of baseline data* •*Re-deploy media to shape new norms* Enforcement •*Ensure adequate and sustained enforcement*	Short-term outcomes •*Degree of implementation?* •*Magnitude of enforcement?* •*Funds dedicated for operations?* Long-term outcomes •*Change in behavior (norms)?* •*What difference did the change make in the lives of the people impacted?* Coalition Cohesiveness _____ **POLICY MODIFICATION** *(process begins again)*

Collaborate	Prioritize	Advocate	Implement

Unique Attributes of *this* Framework

Boils down technical content into something more manageable to the practitioner

Has a real bias toward the importance of building partnerships and collaborations (*the "who"*)

Incorporates all relevant feasibility variables *early* in the process

You Are Here!

POLICY AND SYSTEMS CHANGE (PSC) FRAMEWORK

1 BUILD Partnerships	2 IDENTIFY the issues	3 DETERMINE Options	4 REVIEW Feasibility	5 DEVELOP Advocacy Plan	6 IMPLEMENT and Enforce	7 EVALUATE Outcomes

If we are together nothing is impossible. If we are divided all will fail.

Winston Churchill

Stage 1
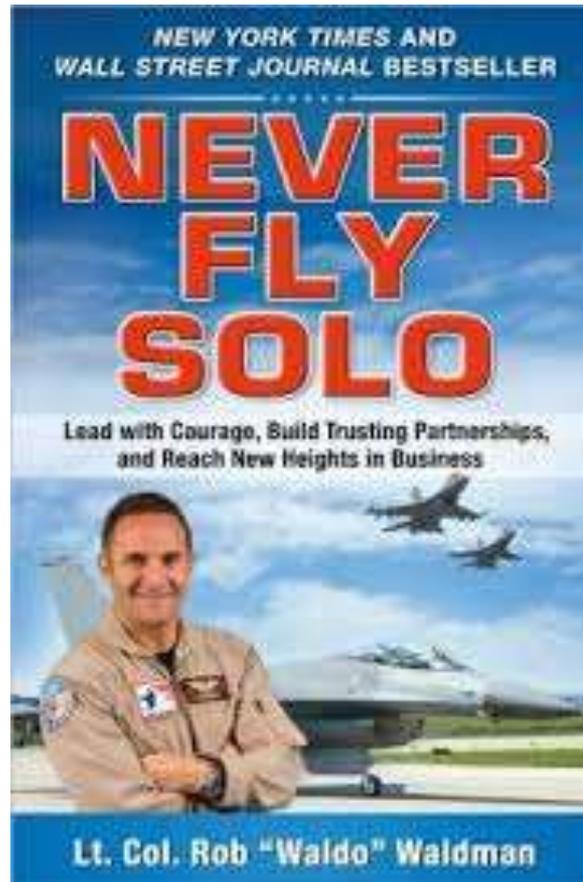
Reasons to Develop Partnerships and Alliances

1. **Better Chance of Success**
   In multiple arenas: program development; policy and systems change; funding and sustainability.

2. **Stronger Community Engagement**
   Being able to surface critical issues of equity from the population being served.

3. **Creating Multiple Messengers**
   And less reliance on professional staff.

Engaging Diverse Stakeholders as Messengers

Community Player = Diverse Partnerships
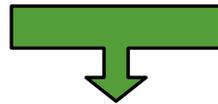
Diverse Partnerships = Multiple Messengers
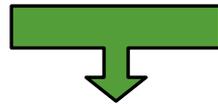
Multiple Messengers = Better Outcomes

Pop Quiz:
Know Your Community

Government

- State
- City/Local
- Federal
- Economic Development
- Military Facilities
- Courts & Probation
- Law Enforcement
- Fire Departments

Institutional

- Businesses
- Business Associations
- Labor Union(s)
- Child Care Providers
- K-12
- Higher Education
- Hospitals and Clinics
- Health & Human Services
- Housing
- Media

Community/Culture

- Community Centers
- Citizen Groups/Clubs
- Parent Organizations
- Religious/Faith-based
- Historic/Arts/Cultural

Purpose: This exercise should reveal obvious gaps in current community allies or opponents.

Directions: _Step 1_: For each community sector listed below in Column (A) quickly list organizations or individuals required for advancing PSE Advocacy. _Step 2_: In Column (B) identify how active those partners are on current PSC initiatives. _Step 3_: Complete Column (C) where there is no active partner, identify potential organizations or individuals that could represent the sector as a partner or ally.

Sector	List a name in each sector you are currently working with	Brainstorm potential new partners
Government		
State (executive, legislative)		
City/Local (executive, legislative)		
Federal (executive, legislative)		
Tribal		
Military Facilities		
Courts & Probation		
Law Enforcement		
Fire Departments		
Institutional		
Businesses		
Business Associations		
Labor Union(s)		
Child Care Providers		
K-12 (school board, administration, principals, other staff)		
Higher Education		
Hospitals and Clinics		
Health & Human Services		
Housing		
Media		
Community/Culture		
Community Centers		
Citizen Groups/Clubs		
Parent/Neighborhood Organizations		
Religious/Faith-based		
Historic/Arts/Cultural		

Who: Engaging Diverse Stakeholders as Messengers For Policy Advocacy

Power Analysis

- Who **appears** to have power? Who **has** the power?

- What is their self-interest?

- To whom do they listen?

- Who are allies?

- Who are opponents?
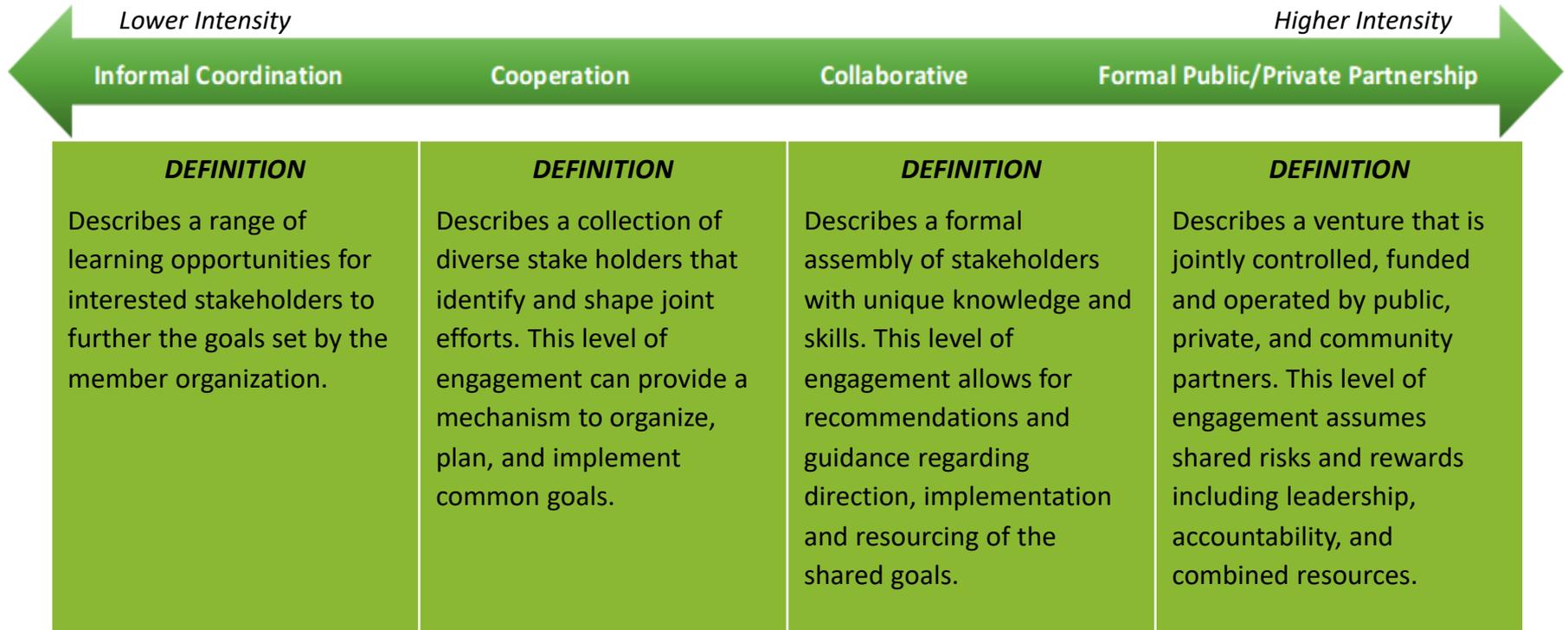
- Organizational risks?

Who are the most important individuals?	To whom must you talk before you approach them?	What is the self-interest of each?	How do you influence them?	Who should approach each one?

Lower Intensity   *Higher Intensity*

Informal Coordination   **Cooperation**   **Collaborative**   **Formal Public/Private Partnership**

DEFINITION	*DEFINITION*	*DEFINITION*	*DEFINITION*
Describes a range of learning opportunities for interested stakeholders to further the goals set by the member organization.	Describes a collection of diverse stake holders that identify and shape joint efforts. This level of engagement can provide a mechanism to organize, plan, and implement common goals.	Describes a formal assembly of stakeholders with unique knowledge and skills. This level of engagement allows for recommendations and guidance regarding direction, implementation and resourcing of the shared goals.	Describes a venture that is jointly controlled, funded and operated by public, private, and community partners. This level of engagement assumes shared risks and rewards including leadership, accountability, and combined resources.

CHARACTERISTICS

Informal Coordination

GOALS: Common goals are identified with stakeholder input

GOVERNANCE: This does not include any stakeholder governance authority

RESOURCES AND REWARDS

- ✓ Information exchanged that allows each organization to better support the identified goal
- ✓ Dialogue encouraged among grass roots community groups, agencies, and organizations

CHARACTERISTICS

Cooperation

GOALS*: Common goals are identified with stakeholder input

GOVERNANCE*: This does not include any stakeholder governance authority

RESOURCES AND REWARDS

- ✓ Stakeholders can provide the basis for new products, ideas, services, and processes
- ✓ Organizations and stakeholders may develop or modify some joint activities to better meet the common goals
- ✓ Share information and/or coordinate events together so there are no conflicts

CHARACTERISTICS

Collaborative

GOALS: Common goals and priorities are identified and agreed to by stakeholders

GOVERNANCE: Can include formal project governance, including a written project charter.

RESOURCES AND REWARDS

- ✓ Stakeholders provide guidance and expertise re strategic planning, political climate, and/or funding
- ✓ Partners may develop joint staffing or funding models to meet goals and priorities
- ✓ Regular project updates are provided for stakeholder guidance and input

CHARACTERISTICS

Formal Public/Private Partnership

GOALS: Vision, purpose and priorities are mutually set by the partnership

GOVERNANCE: Includes formal authority & structure to govern the project that typically include:

- ✓ Clear decision-making processes
- ✓ Transparent fiscal accountability
- ✓ Mutual fund development
- ✓ Shared staffing & volunteers

RESOURCES AND REWARDS

- ✓ Resources are pooled or jointly secured for a longer-term effort that is managed by the partnership structure
- ✓ Risk and rewards are shared by all organizations in the partnership

Exercise 2

Lower Intensity			Higher Intensity
Informal Coordination	**Cooperation**	**Collaborative**	**Formal Public/Private Partnership**
DEFINITION	***DEFINITION***	***DEFINITION***	***DEFINITION***
Describes a range of learning opportunities for interested stakeholders to further the goals set by the member organization.	Describes a collection of diverse stake holders that identify and shape joint efforts. This level of engagement can provide a mechanism to organize, plan, and implement common goals.	Describes a formal assembly of stakeholders with unique knowledge and skills. This level of engagement allows for recommendations and guidance regarding direction, implementation and resourcing of the shared goals.	Describes a venture that is jointly controlled, funded and operated by public, private, and community partners. This level of engagement assumes shared risks and rewards including leadership, accountability, and combined resources.

UNDERSTANDING YOUR LEVEL OF ENGAGEMENT

1) What was the original intent of your group?

2) Define the current place of your partnership ("what is")

3) What level of engagement would be ideal

("what should be"?)

Partnership Health and Effectiveness

Sustaining Your Coalition

Key Variables

- Clarity of roles and mission (charters/bylaws)

- Adherence to clear values and principles

- Strength in leadership (and nurturing of new leaders)

- Ability to influence and persuade

- Utilize influential champions

- Wide & diverse community involvement

Sustaining Your Coalition

Key Variables -- cont.

- Meeting community needs and expectations

- Diversified funding

- Solid infrastructure and management

- Bona fide stakeholder and community engagement

- Adaptability

- Ability to demonstrate positive outcomes

Coalition Pitfalls

"Watch your step!"

- Mission creep
- Power of the lead fiscal agent
- Turnover
- Member retention
- Little less talk and a lot more *action*
- Funder accountability

Purpose: The purpose of this activity is to stimulate your thinking about the elements of effective collaboration.

Directions: First, take about 15 minutes to complete the assessment below as follows:

Step 1: Think about a collaborative group you belong to. Choose one as the focus of this activity.

Step 2: Assess the current status of the collaborative based on the 5-point assessment scale (*1= less developed, 5= more developed*). Write this number in the second column labeled "Effectiveness Score."

Step 3: Prioritize each of the elements according to how important you think this element is to the success of your collaborative. Write the result in the far-right column (*High, Medium, or Low*).

Fostering Champions - Tactics

Formal Communications

- Invite a decision-maker to address a team or coalition meeting of your organization.

- Invite decision-makers to visit a successful program that you administer or work in.

- Use of recognition and awards of local "champions" that have supported your work.

Deploy Champions - Tactics

Informal Communications

- Take advantage of opportunities (i.e., elevators, soccer games, other community settings).

- Be sure to get to your take-home message (even it is only 30 seconds).

- Could be an opportunity to set up time for a subsequent formal meeting.

A Quick and Easy Evaluation: Did Your Coalition or Partnership Get Invited…?

- … to participate in a meeting,

- … on a task force,

- … to a press event,

- … to draft or comment on a pending policy?

Partnerships and Collaboration: Ask Yourself?

Are you or your team considered a "player" in influential circles?

Do they contact you?
  >> do you receive requests to speak at events, endorse initiatives, get invited to brainstorm ideas with policymakers?

What's appropriate in your community for you to be a "player" in influential circles?

Partnerships and Collaboration: Ask Yourself?

Do *coalitions* that you are part of have a clear understanding of their role in policy and systems change?

Do *individual members* on the coalitions understand their specific roles in policy and systems change?

Are Coalitions Like House Guests?

Coalitions do not last forever. Sometimes a coalition can be repaired, and sometimes, the effort to do so is not justified.
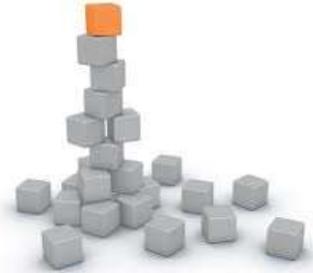
Be ready to dissolve a coalition if it does not achieve satisfactory goals or if it is no longer effective.

Resources and Links

✓ **www.coalitionswork.com**

✓ **http://www.cadca.org/resources/detail/strengthening-partnerships-toolkit**

✓ **http://www.acphd.org/social-and-health-equity/partnerships-and-communities-collaboration.aspx**

✓ **http://www.acf.hhs.gov/sites/default/files/ocs/partnerships.pdf**

You Are Here!

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Stage 2 – Identifying and Issue: Should Something Be Done?

❑ Is there a problem?

❑ Identify and define the issue

❑ Is the data compelling?

▪ What kind of data?

▪ Is it local?

▪ Are there health disparities?

❑ What would happen if nothing was done?

YOU ARE HERE!

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# Stage 3 – Determine Policy and Systems Change Options: What Should Be Done?

❑ Determine potential options for policy and systems change

❑ Use of evidence-based information
➢ Best Practices - *proven research findings*
➢ Promising Approaches - *some research basis*
➢ Innovative Ideas - *brand new approach (untested)*

Stage 3 – Determine Policy and Systems Change Options: Levels

Level of Policy and Systems Change Needed

➢ Federal

➢ State

➢ Local (regional, city, county)

➢ Institutional
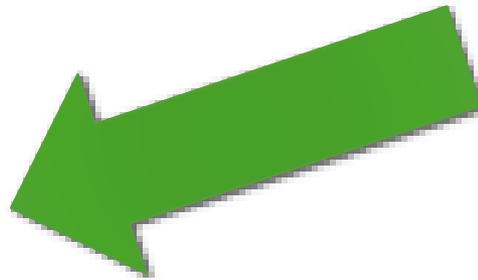
Policy and Systems Change – Type

Choose The Type of Strategy:

- ➤ Policies
- ➤ Rules
- ➤ Procedures & Protocols
- ➤ Executive Orders and Resolutions
- ➤ Advisory Group Statements
- ➤ Voluntary Efforts
- ➤ Budget

Choose Type

Policies (official laws)

Laws" or "statutes" are adopted by legislative and compiled into "codes." Subdivisions might be known as "titles", "chapters", and "sections."   Laws take precedence over every other type of policy and are subject to the full weight of enforcement via the criminal or civil justice systems.

Enacted by a legislative body at any level of government or private entity leadership.

Choose Type

Rules

"Rules", "regulations", "administrative orders", "certification requirements", "licensure requirements", and similar terms usually refer to policies that are adopted by administrative bodies (local or state boards or departments).

Remember:
Rules can always be trumped by ordinance or legislation.

Choose Type

Procedures & Protocols

Procedures and protocols provide formal direction as to how a policy will be implemented and typically establish relationships and responsibilities for all those impacted by the policy. The procedures and protocols provide a framework for accountability and enforcement.

Remember:
Procedures and Protocols can always be trumped by ordinance or legislation.

Choose Type

Executive Orders and Resolutions

These types carry less weight than laws and ordinances and can be easily removed by a new set of leaders in either the executive or legislative branch.

Good example of "bully pulpit" work.

Choose Type

Advisory Statements

May include *guidelines, resolutions, position statements, non-regulatory guidance, and legal advisories* that provide recommendations, express opinions, provide evidence, and/or clarification on implementing policies and programs.

They can originate from state legislatures, state or local boards of education, national organizations, state education agencies, or other entities. Ultimately, such guidelines are intended to result in a code of correct conduct or adoption of best practice.

An RCN toolkit for school nurses

Developing your practice to support children and young people in educational settings

Choose Type

Voluntary Efforts:

These can emerge a few different ways:

1. Proponents may feel that stronger types (like ordinances and laws) are unlikely to pass so a voluntary approach is used first. This can lead to stronger efforts down the road.

2. Voluntary approaches can also emerge out of negotiation when stronger types are first attempted.
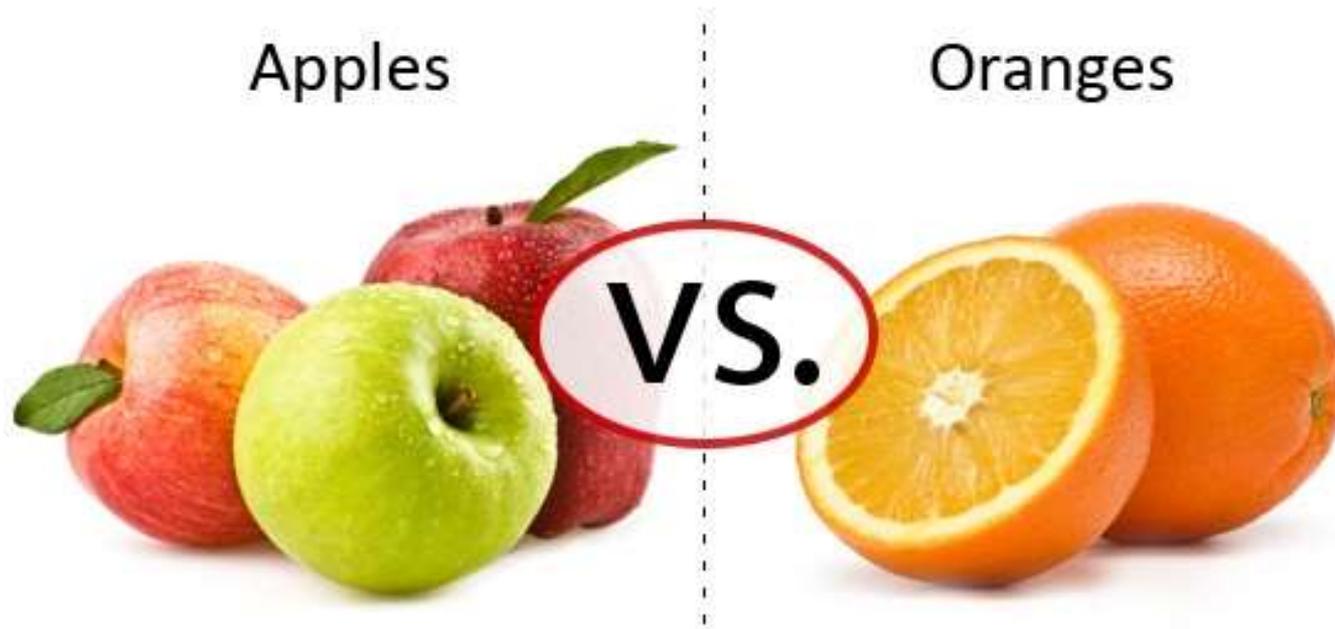
Choose Type

Budget

The development of budgets (for programs and agencies) is another form of policy but can be overlooked as a place to develop strategy and advocacy.

Budget development is not a mechanistic process but rather a process that involves decision makers engaged in prioritizing and allocating resources that can be influenced both internally and externally.

Final List Of Strategies Need To Be ...
Action Statements

YOU ARE HERE!

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Who is involved and how?	Should something be done?	What should be done?	Can it be done?	How to get the idea into play?	How to make the PSC idea cone alive?	What happened? What difference did it make?

Stage 4 – Review Feasibility Variables: Can It Be Done?

❑ Political Feasibility

➢ political and economic climate

❑ Program Feasibility

➢ operational questions, including complexity and measurability

❑ Social Feasibility

➢ quality of life; reducing health disparities; community connection; unintended consequences

Stage 4 – Feasibility:
The Power of Local Policy Development

- Compliance and enforcement efforts are more accountable to local advocates

- Local advocates more easily reflect community-specific standards and norms to policymakers

- There is a higher probability Vested industry interests are generally less effective at the local level

Stage 4 – Review Feasibility Variables: Can it be Done?

Unintended Consequences

❑ Positive: DARE example

❑ Negative:
  ➢ Setting high standards (in any setting) that prove too difficult to implement may increase the liability risk
  ➢ Fetal Alcohol Syndrome FAS) Warning Labels (alcohol)
  ➢ Taxes (soda pop, tobacco and alcohol)

Group Exercise: Working in the Policy and Systems Change Framework

Stage 4 – Roadmap Planning Exercise: Using the Criteria Tool

PURPOSE: To sequence a slate of strategies that can build into a near-term "road map" over 1-3 years.

DIRECTIONS: Use the feasibility factors, seen below, to sort the strategy list in three steps.

***Step 1*:**

The "Removal" Task. These are "NO GO" strategies that should be removed from further consideration (at this point in time). This means there is no need for a deep feasibility or staging discussion as result of "threshold criteria" (i.e., high budget item in an economic downturn or there is no lead organization).

Note: This may vary from group-group so it is critical for each group to decide which of these factors are threshold.

***Step 2*:**

The "Staging" Task. Using the factors below, and any additional ones determined by your group, discuss and decide how the remaining strategy options should be staged or sorted into "NOW", meaning take immediate action, and "LATER", taking action in the short/mid-term (next 1-2 years).

Hint: The "NOW" should not be the longest list.

Social: who is affected (positively and negatively); multiple populations impacted; and what kinds of power do they have? Can the idea help to legitimize the issue area across multiple sectors of influence? Is there a balance of ideas that impact: a diversity of communities (i.e., urban and rural)? Are these ideas that can connect, in tangible ways, with quality of life issues?

Scientific and Economic: does the solution fit the problem; what kind of data and evidence is available; can this solution be measured; and what is the overall budget context?

Legal: does the enacting body have the legal authority and is future litigation a concern if the idea is enacted?

Political: is it controversial; what do key stakeholders think; is there a good state of readiness; ease of communication; and is there a reason to delay action? Is there any synergy with strategy efforts at other levels (local, regional, federal, state)?

Practical: does it build on existing efforts; are others better positioned to tackle this issue; is the strategy self-sustaining or does it require ongoing resources (implementation, enforcement)? Is there a point organization ready to play the lead role in the advocacy efforts?

***Step 3*:**

The "Rationale" Task. Organize your list in the appropriate categories below and provide a brief rationale for your list.

"No Go" Strategies	Now (Year 1-2) Strategies	Later (year 2+) Strategies	Brief Rationale
1.	1.	1.	
2.	2.	2.	
3.	3.	3.	
4.			
5.			

Advocacy Alert
Act Now!

YOU ARE HERE!

1 BUILD Partnerships	2 IDENTIFY the issues	3 DETERMINE Options	4 REVIEW Feasibility	5 DEVELOP Advocacy Plan	6 IMPLEMENT and Enforce	7 EVALUATE Outcomes
Who is involved and how?	Should something be done?	What should be done?	Can it be done?	How to get the idea into play?	How to make the PSC idea cone alive?	What happened? What difference did it make?

Stage 5 – Pre-work: Understand the "Legal Language"

Draft Language

➢ Clarify legal basis

➢ Research similar policy and systems change examples from other communities

➢ Tie to local conditions

Policy and System Change – Authorizing Environments

What are the key attributes of the specific change idea that was chosen?

U̲N̲D̲E̲R̲L̲I̲N̲E̲D̲ FORMAL

- Understand your city/county political structure (e.g., for a city is it a "strong mayor" or a "weak mayor" system)?

- What committee will your bill get referred to?

- How and when is public input folded into the process?

Policy and System Change – Authorizing Environments

What are the key attributes of the specific change idea that was chosen?

Informal

- ◦ Do you know the general voting tendencies of your key decision makers?

- ◦ Can you find a policy champion who has a personal connection to your issue?

- ◦ What are the current hot-button issues in your particular community (and can you connect your issue to what is popular and/or in play)?

Stage 5 – Develop an Advocacy Plan

Entering the Advocacy Zone: Three Main Components:

1. **Stakeholder Identification:**
   Identify the stakeholders and/or audiences you intend to reach

2. **Messaging:**
   Frame your message to those audiences & stakeholders

3. **Communication Vehicles:**
   Identify the vehicles to get your message out!

Identify Which Audiences
Need The Message

Government	Institutional	Community/Culture
• State • City/Local • Federal • Economic Development • Military Facilities • Courts & Probation • Law Enforcement • Fire Departments	• Businesses • Bussiness Associations • Labor Union(s) • Child Care Providers • K-12 • Higher Education • Hospitals and Clinics • Health & Human Services • Housing • Media	• Community Centers • Citizen Groups/Clubs • Parent Organizations • Religious/Faith-based • Historic/Arts/Cultural

Don't Forget Key Decision-Makers

Stage 5 – Develop an Advocacy Plan

Entering the Advocacy "Zone"

This is where you and your partners figure out the most important stakeholders for your policy and systems change strategy:

➢ Media

➢ Allies

➢ Opponents

➢ Decision makers

Stage 5: Stakeholder Checklist

✓ "Top-down" & "Bottom-up" approaches

- Top-down: decision-makers and elected officials
- Bottom-up: community organizations and leaders >> need BOTH!

✓ Find key "inside" supporters

✓ Ensure buy-in from entities responsible for enforcement

Stage 5: Develop an Advocacy Plan

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Smart Advocacy:
Frame Your Message – Why?

It takes very few words to trigger a frame…

FRAMES trump **FACTS**

Frames are … "the labels the mind uses to find what it knows."

Stage 5:
Frame Your Message

It takes very few words to trigger a frame…

Speak to the policy and systems change direction, _not_ the program or policy details. Develop a "bottom-line" frame to the idea

Examples:

- School-based health clinics can be part of an overall strategy of school improvement.

- Let's have a sustainable environment.

- This policy will make the healthy choice easier.

- Everybody should have health care.

- Every $1 spent on employer breastfeeding policy saves $3 in medical and lost productivity costs

Smart Advocacy:
Frame your Message – How?

Refine your Policy Action Statement In 25 Words or Less by Answering Three Questions:

(1) What's wrong?

(2) Why does it matter?

(3) What should be done about it?

You Try It: Theory To Practice Exercise

ISSUE: Dispensaries selling marijuana to underage customers

STRATEGY: Mandatory training for all dispensary owners.

AUDIENCE: State legislators

How Would You Answer?

1. What's wrong?

2. Why does it matter?

3. What should be done?

Frame Your Message – How?

A FINISHED PRODUCT

1. **What's Wrong?**
    Dispensaries are susceptible to the use of fake ID's by minors

2. **Why Does it Matter?**
    Minors will look to procure marijuana in any way possible. We need to ensure that our dispensary sector adheres to age requirements.

3. **What Should Be Done?**
    State-mandated training for all new dispensary owners, with semi-annual continuing education.

"Let's Keep Marijuana
Out of the Hands of Minors"

Stage 5:
Develop an Advocacy Plan

Entering the Advocacy Zone: Three Main Components:

1. **Stakeholder Identification:** Identify the stakeholders and/or audiences you intend to reach

2. **Messaging:** Frame your message to those audiences & stakeholders

3. **Communication Vehicles:** Identify the vehicles to get your message out!

Stage 5:
Avenues of Influence: A List

Once you have identified your messaging and vetted your strategy to key stakeholders, it is now time to engage in the civic process.

- write a letter
- send an email
- testify in person
- speak at a town meeting
- develop support of other groups

- draft & circulate petition
- make a phone call
- meet a decision maker
- hold an event (e.g., rally, press conference)

Stage 5:
Avenues of Influence – Media Tactics

- ❑Frame your message
- ❑Identify media targets
- ❑Speak strategically
- ❑Tell the story - ask for change
- ❑Anticipate the opposition's arguments

Media Outlets:
News Stories
Editorials
Letters to the Editor (LTEs)
Radio/TV News Programs
Social Networks / Blogging

Stage 5:
Advocacy: Tips for Sure-Fire Failure

❑ Not talking to key decision makers who do not agree with you on every issue

❑ Waiting too long to engage with decision makers

❑ Burning bridges

❑ Giving up too soon

Failure is not falling down but refusing to get up. ~Chinese proverb

Stage 5:
Advocacy: Tips for Success

❑ Your expertise is needed in policy development circles; don't self-censor your voice

❑ Successful advocacy, like in many aspects of life and work, is built upon building long-term relationships

Stage 5:
Tactical Planning Worksheet

Worksheet includes:

➢ tips for carrying out strategies

➢ helpful questions to consider when planning tactics
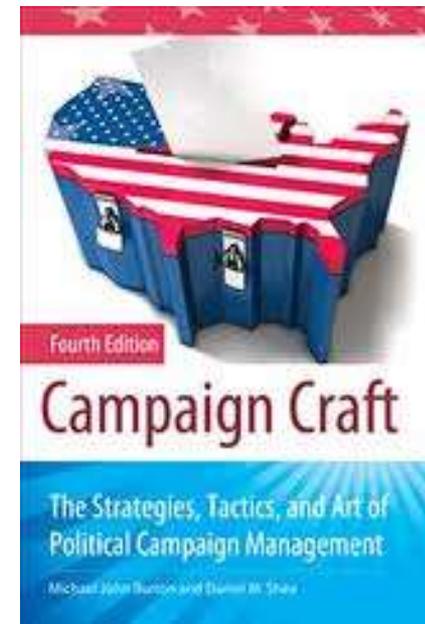
YOU WERE SO PERSUASIVE !

YOU MADE IT!

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Stage 6: Implementation Steps

Implementation and Enforcement

➢ Deploy communication strategies
➢ Make the strategy come alive
➢ Ensure adequate enforcement

Stage 6: Implementation Steps

Deploy Communications Strategies

(Re)frame your message

Identify targets
(e.g., end user, general media, targeted media)

Shape opinions about the existence and important of the strategy
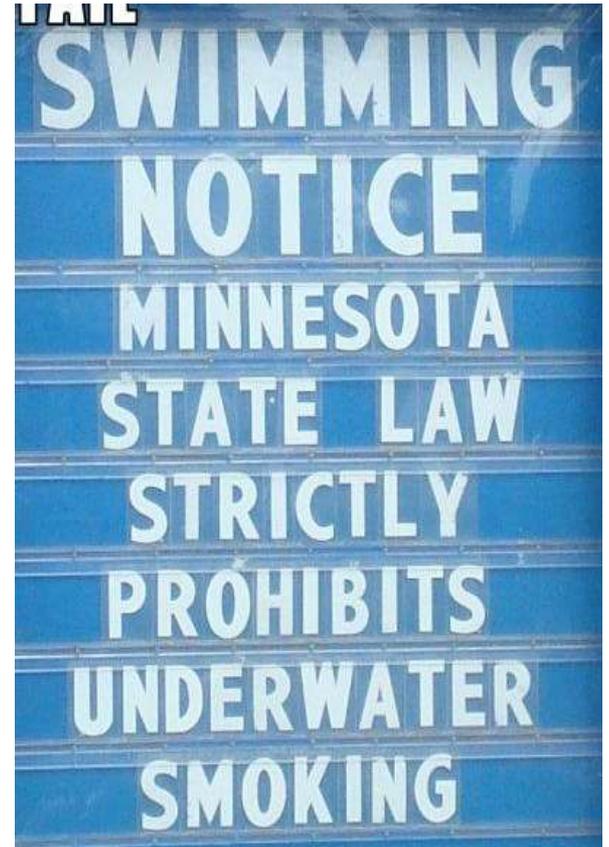
Stage 6: Implementation Steps

Make the Strategy Come Alive

Support and advocate for:
- ✓ staff capacity (operations & enforcement)
- ✓ operational expenses (i.e., signage)
- ✓ data & reporting needs
- ✓ marketing

Stage 6: Implementation Steps

Ensuring Adequate Enforcement

Inside the System

- Verify need for enforcement capacity (some strategies can be self-enforcing)
- Assess if you need to internally support the new strategy as worthy of receiving attention and resources

Stage 6: Implementation Steps
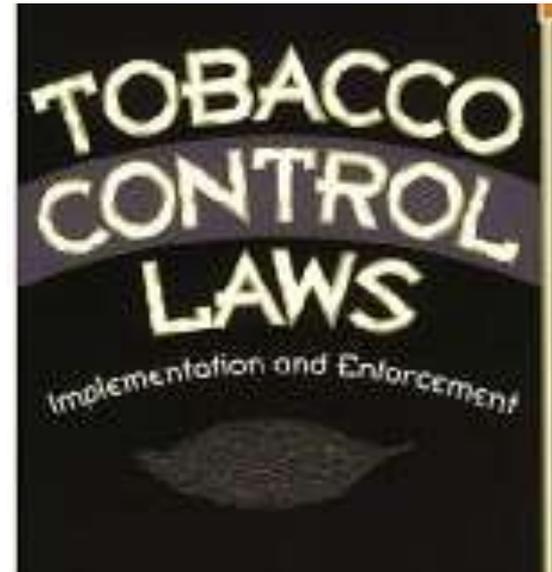
Ensuring Adequate Enforcement

Outside the system:
- demonstrate to enforcement systems and to their leadership the importance of sustained enforcement of the new strategy
- monitor those entities and systems responsible for enforcement

Stage 6:
Implementation and Enforcement Worksheet

Worksheet includes:

- ❑ required actions and resources

- ❑ use of external stakeholders

YOU ARE HERE!

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Stage 7: Evaluation

Evaluate Effectiveness

➢ Challenges and Caveats
➢ Capturing the "Journey" and the "Destination"
➢ Destination: Short- and Long-Term Outcomes

Stage 7: Evaluation

Challenges

Funders (both public and private) struggle to determine what is reasonable accountability for groups embarking on policy and systems change work.

Specific challenges include:

- *Complexity* – policy change involves so much more than just changing an ordinance or a law

- *Active Opposition* – e.g., tobacco companies or the food industry

- *Time Frame* – one and two-year yardsticks are generally too short

- *Shifting Strategies* – policy and systems change requires flexibility and calibration

POLICY AND SYSTEMS CHANGE (PSC) FRAMEWORK

| 1 *BUILD Partnerships*	2 *IDENTIFY the issues*	3 *DETERMINE Options*	4 *REVIEW Feasibility*	5 *DEVELOP Advocacy Plan*	6 *IMPLEMENT and Enforce*	7 *EVALUATE Outcomes*
Who is involved and how?	**Should something be done?**	**What should be done?**	**Can it be done?**	**How to get the idea into play?**	**How to make the PSC idea cone alive?**	**What happened? What difference did it make?**
Partnerships are core to all states of PSC development Community identification Shared goal Coalition building • *Leadership development* • *Establishing broad stakeholder base* • *Role clarity in advocacy and lobbying*	Is there a problem? What are the contributing factors? Is the data compelling (burden of the problem)? Urgency and timing What happens if it is not addressed (societal costs)? Assessing health equity (does it unequally impact the population?)	Chose both type and level of PSC needed Collect proven and actionable strategies Assess evidence-base and cost-benefit (ROI) Check biases and assumptions of key partners	Prioritize your PSC strategies based on the criteria below Political • *Assess political climate & readiness* Programmatic • *Level of complexity?* • *Who will implement?* • *Enforcement: who/how?* • *Can impacts be measured?* Social • *Connection to local values* • *Magnitude of impact on the community* • *Unintended consequences*	Know your authorizing environment • *Capacity and resources* • *Lobbying vs. advocacy* Choose your PSC pathways Develop PSC Action Statement Smart Advocacy • *Frame your message; develop clear pitch* • *Create a movement* • *Deploy champions*	Implementation planning • *Ensure adequate resources* • *Deploy media to educate about policy* • *Assure collection of baseline data* • *Re-deploy media to shape new norms* Enforcement • *Ensure adequate and sustained enforcement*	Short-term outcomes • *Degree of implementation?* • *Magnitude of enforcement?* • *Funds dedicated for operations?* Long-term outcomes • *Change in behavior (norms)?* • *What difference did the change make in the lives of the people impacted?* Coalition Cohesiveness _____ **POLICY MODIFICATION** *(process begins again)*

Collaborate > **Prioritize** > **Advocate** > **Implement** >

Transition.

Persuasion
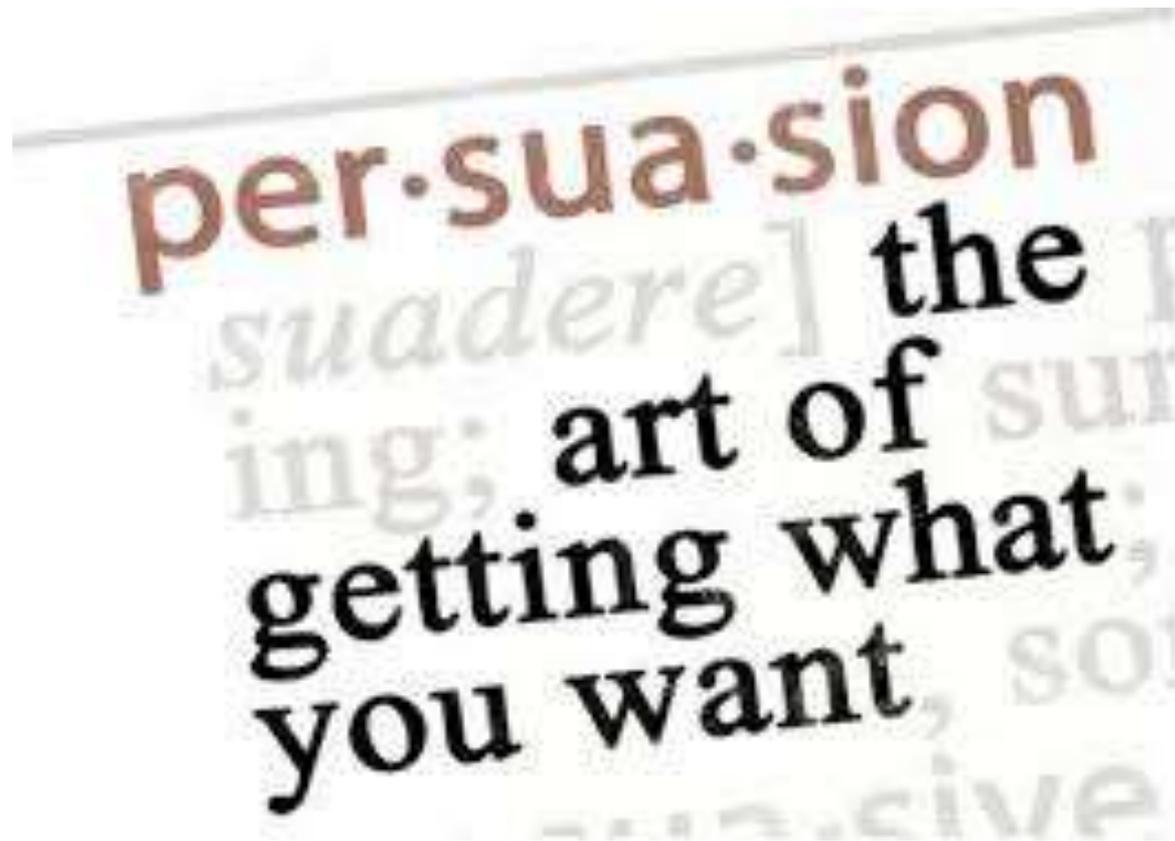
The Power of Persuasion for Advancing Program and Policy Goals

- From science to sales – effective communication and persuasion
- Polishing your skills- peer based exercise(s)

"Perhaps I could just leave a flier then."

TIP: *Remember, you don't have any friends in politics, only allies*

Alliances shift from issue to issue. Today's foe may be tomorrow's staunch supporter.

Never burn your bridges. You may not always find it, but always look for some acceptable result for everyone involved in an issue.

Persuasion: Key Elements

- Who

- Why

- How

- Where

Who is a Community "Decision-Maker"?

<u>Anybody</u> with the authority to distribute funding, resources, human capital - as well as community leaders or those connected to local policy makers.

Examples:

- Local, state, or federal legislator; county commissioner; mayor; local boards of health or state health administrators; school board members; school board administrator; private business owners; non-profit executive directors (i.e., United Way); respected community member, natural community leaders (i.e., influential parents).

The Power of Community Decision-Makers

Each encounter with any decision-maker is an opportunity to increase your messenger(s):

- market your goals

- expand or defend critical funding streams

- build initial steps to achieve greater public support of your efforts (includes positive media)

Ultimately, positive contact with community influencers can establish yourself and your partners as valuable resources for school health issues

Persuasion: "Why"

Foster friendly relationships with influencers can pay multiple dividends:

➢ expansion or defense of funding streams

➢ assistance in facilitating alliances to strengthen your work

➢ public support of your efforts (including positive media coverage)

Keep Relevancy!

Persuasion: "How"

KEY STEPS

1. **Do your homework**
   On the issues as well as on the person(s) you are trying to persuade

2. **Plant seeds**
   If not now, then perhaps later

3. **Build rapport**
   Ask questions and define what's in it for the persuade-e

4. **Develop persuasive plan**
   Prepare to overcome objections

   Practice and then....ASK FOR IT!

Persuasion: "How"

➢ Keep jargon at a minimum

➢ Be concise and to the point

➢ Reinforce good decision making

➢ Communicate before decisions are made

Persuasion: "How"

➤ Be "in the moment"
(communicate to meet changing needs)

➤ Be dependable and honest

➤ Remember you represent others

➤ Remember what you communicate may be shared

Persuasion: "How"

➢Prepare and/or collect supporting materials to accompany your presentation

▪ <u>Keep handouts to a minimum</u>

➢Practice your presentation

Persuasion: "How"

➢Be on time

➢When you meet the decision maker, introduce yourself and identify the group you are representing

➢State the reason for your visit concisely and limit the number of issues you discuss

Persuasion: "How"

➤Give the decision maker essential information, review the critical points, describe the impact of the policy or program at hand and share your recommendation

➤Be prepared to answer questions

➤<u>Do NOT leave without clarifying the position of the decision maker!!!</u>

or at least have clear next steps …

Persuasion: "How"

Suggestions: Following the Meeting

➤Immediately after the meeting, record what occurred—whom you met with, issues discussed, responses received, and any follow-up needed

➤Write a thank-you letter
  o summarize points made and include any follow-up information requested

Polishing Your Skills
Fishbowl Exercise

Round Robin Evaluation

Please respond to these questions:

- Did you experience any AHA's today?

- What more do you need to be successful in policy/systems change work?

- What is one tangible next step with this information?

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