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| Policy Record Review | Adapted from Los Angeles Policy Record Review Form  Updated with Tobacco Endgame Center for Organizing  and Engagement Decision-Maker Matrix |

A policy record review (PRR) is an important step to help communities get familiar with the local political environment. The PRR tools help gather and use background information on the history or particular stance an individual or a decision-making entity (such as a City Council or Board of Supervisors) has on an issue. Find out who/which entities have decision-making authority over the issues your project will be working on. The PRR informs staff about decisionmaker support or opposition, key issues raised by, and other insights from public meetings or documents about tobacco free policies.

## A policy record review includes three accompanying deliverables (Click to jump to that section.)

* **[Document Review Summary](#doc)**
* **[Decision-Maker Background Summary](#dmbs)**
* **[Signed Policy](#_Signed_Policy)**

## When to conduct Policy Record Reviews

It can make sense to review policy records at various stages of your campaign.

* At the beginning of a new objective, especially when the topic is previously untried by your community, it is a good way to get a sense of where things stand, who the key players are, etc. A document review summary and decision-maker background summary are both due in the first six-month progress report for each jurisdiction pursuing policy changes.
* On an ongoing basis, monitor current meeting agendas and minutes and/or check-in with your information sources so you are alert to issues that may impact your campaign. After there is a change in leadership due to elections, retirement, or other events that change the decision-making body’s makeup. Updated document review summary and decision-maker background summaries should be submitted each progress reporting period to document any new information learned through completion of the campaign.
* Prior to conducting a Midwest Academy Strategy Chart activity, looking at past voting records and meeting minutes can help you complete the strategic planning process.
* Before approaching decision-makers about a policy initiative, it’s a good idea to see what has been tried before, what failed, and how issues were framed. That way, your community is best informed and may be able to avoid some pitfalls in the process.

## Document Review Summary

**Where to start:** Conduct a review of all existing policies in the jurisdiction that may relate to the issue being addressed. Potential data sources of a document review summary include city or county codes; public meeting agendas and minutes; existing policies and documents such as sponsorships, leases, or statements; and/or a search of other related public records. Data can be organized using the [sample templates](#meeting) below. The fields can be edited and expanded as needed.

Reviewing these documents gives a sense of how an issue was framed or handled in the past, what concerns were raised, and who the key players were. Investigate how the issue was first proposed, what the arguments both for and against were, and how many tries it took to get passed.

**Where to look:** Monitor City/County websites for meeting agendas and minutes or obtain hard copy minutes or annotated agendas from the City Clerk. Often, these don’t include much detail (or even wrong information!), so a better strategy is to talk to insider sources for a recap, watch videotaped sessions (where available), or attend meetings in person when you have been tipped off that something relevant will be on the agenda. That’s why maintaining good relationships with staffers is key! Other documents can be found with an online search or by putting in a formal request. Try the City/County website and municipal code. Search using keywords or look in sections that are likely to include tobacco control ordinances (e.g., Health and Safety, Business License and/or Zoning). Once you find a tobacco or health-related ordinance, look at the end of each section for the month and date of adoption (Ord. 2535 § 4, 2-13-2010). The first four numbers are the ordinance number; the number after the § is the section number, followed by the adoption date. Other helpful sites are Law School sites, [https://guides.library.unlv.edu/civicengagement/researching](about:blank), or <https://library.municode.com> just to share a few.

When searching documents, use key words such as:

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| Tobacco | Hookah | License | Housing | Beach | Recreational Area |
| Nicotine | Chew | Fee | Parks, Plazas | Golf Courses | Multi-Unit or Multi-Family Housing |
| Smoking | Spit | Landlords | Playgrounds | Zoning | Thirdhand smoke |
| Smoke (smokefree) | Secondhand | Tenants | Bus Stops | Conditional Use Permit | Cannabis |
| Cigarettes | Merchants | Rent Control | Litter | Schools | Tetrahydrocannabinol (THC) |
| E-cigarettes | Cigars | Apartments | Tobacco free | Sidewalk | Cannabidiol (CBD) |
| Vaping | Retailers | Tobacco endgame | Alcohol | Alcohol | Cannabinol (CBN) |

Remember to try multiple spellings of words and phrases in searches (e.g. “smoke-free”, “smokefree”, “smoke free”), single and plural versions, common abbreviations, and alternative wording (e.g. e-cigarettes, electronic cigarettes, electronic nicotine delivery devices, ENDS, etc.). If your search doesn’t yield much, contact the authority that keeps records and can send you relevant public documents.

**Continuous Monitoring:** After assembling the initial document review, it is important to continue monitoring ongoing issues that can inform the issue. It can be helpful to listen to/monitor discussion around not only tobacco or health-related issues but also any topic which could link to your objectives such as youth activism, water conservation, and economic development, or priorities related to the jurisdiction’s budget, compliance with state laws, and public health initiatives, to name a few. These all could have some bearing on how policymakers frame the proposed issue – either positively or negatively. Therefore it is important to understand which issues get traction and which don’t, and the particular approaches or wording that prove most effective. Update these records on a regular basis.

For more information, please see <https://tobaccoeval.ucdavis.edu/sites/g/files/dgvnsk5301/files/inline-files/Tips_Tools_06_2009.pdf>

## Decision-Maker Background Summary

Potential data sources of a decision-maker background summary include city/county websites, social media, meeting agendas and minutes, or a search of other public information about the decision-makers. Data can be organized using the [Decision-Maker Matrix templates.](#dmm)

To have a successful campaign, it is critical to know the personal and professional background and relevant interactions of the selected decision-makers. Answering these questions is important to better understand the decision- maker’s present and potential position to the policy effort.

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| Questions for consideration include:   * What relationships do they have with other decision-makers? * How do they interact with their community? * How are they perceived by their constituents? |  | Additional questions excerpted from Midwest Academy:   * What are the demographics of the decision-maker’s districts and how might that affect the issue? * If the decision-maker is appointed (e.g. college board), who appoints them? If hired (e.g. city manager), who is responsible for hiring? * Who donates or contributes to the decision-maker’s campaigns? * Do they have committee assignments worth noting? * Have they voted on similar/related issues in the past, and if so, how did they vote? |
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Answering these questions is important to better understand decision-makers’ present and potential position to the policy effort. Creating a [Profile](https://www.tcspartners.org/Files.cfm?FilesID=6984) or [Dossier](https://www.tcspartners.org/Files.cfm?FilesID=10229) on decision-makers allows the community to have the necessary background needed to complete a strategic plan for their campaign.

The data gained from compiling dossiers can be organized using the [Decision-Maker Matrix templates](#dmm) below. The Decision-Maker Matrix (DMM) is a tool for analyzing the policy position of the decision-makers in the jurisdiction that is the focus of the policy campaign. It is designed to assist in the completion of the “Decision-Maker” column of the [Midwest Academy Strategy Chart (MASC)](https://www.tcspartners.org/Files.cfm?FilesID=6978https://www.tcspartners.org/Files.cfm?FilesID=6978), a tool used to complete a strategic campaign plan. A decision-maker is an individual that has the power to say yes to a policy when proposed. Completing the matrix should be done after assessing the political environment through your document review. Once complete, the matrix will be very helpful in determining if the decision-makers are potentially undecided, supportive, or will likely be in opposition. Often, the undecided decision-makers will become the focus of the work and resources used by the campaign.

## Signed Policy

After a vote, the signed policy should be submitted with the next progress report. This will most likely be a .pdf file of the signed policy.

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**Meeting Record Form Example**

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| **Mtg Date + Source** | **Health-Related Agenda Item** | **Key Points, Public Comment Speakers, Issues Raised During Discussion** | **Councilmember Position +/-/N** | **How This Can Be Used** |
| 10/14/14 City council meeting | Economic development incentives; healthy community initiative; TRL; youth activism program; water conservation | - Concern re: a TRL could counteract economic development incentives to draw new businesses to Sacramento by making city seem unfriendly and regulation-heavy.  + But a TRL that bans vaping where smoking is prohibited fits with healthy community initiative. Mayor champions youth community activism program. | Mayor +; Peterman -; McCluskey -; Abruzzi +; Sanchez +; Chin N; Wilson N | Make TRL application process quick & easy with reasonable fee. Find ways to partner with proponents of healthy community initiative. Frame benefits in terms of promoting healthy city image, way to limit unhealthy elements in communities w/ density provisions, tobacco definitions and bans, strict fines for those who sell illegally. |
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**Document Review Form Example**

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| --- | --- | --- | --- | --- |
| **Document title** | **Document source** | **Key Points** | **People/staff involved** | **How This Can Be Used** |
| City, CA Municipal Code Chapter 3.52 Taxicabs & Automobiles for Hire | Municode Library | Chapter 5.32.170 - Restrictions on operators. (no using tobacco while operating taxicab or automotive) | City Manager Zeiss lead a subcommittee on occupational health and safety. | Establish relationship with the new City Manager to understand their role in the decision making process. Contact Zeiss who, although retired, might be able to provide guidance. |
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**Decision-Maker Matrix Example**

*An instructional document and blank worksheet in English and Spanish can be found* [*here*](https://organizingtoendtobacco.org/category/resource/community-engagement-and-organizing/page/2/) *for download. If you need additional support, please submit a Technical Assistance request through the Community Engagement Support Gateway. Below is a sample of a completed Decision-Maker Matrix for a city council.*

| **Decision-Maker** | **Policy Position** | **Research & Notes** | **Allies & Affiliations** |
| --- | --- | --- | --- |
| *List everyone on the City Council* | *Individual’s likelihood of support.* | *List all the information you have about the decision-makers. Include things such as: vote record, family, occupation, interests, education, and campaign platform.* | *List all the organizations, individuals, or clubs your decision-maker are affiliated with. This will also help with recruitment strategy.* |
| **[Councilmember Name]**  District **#**  **Contact Information**  councilmemberA@example.com  (###) ###-#### ext. ##  **Term Dates**  03/2018 – 11/2022  **Running for another term?**  Yes  **Social Media**  Twitter handle  Instagram handle  Facebook link  LinkedIn | **Yes**: likely to support the issue  **No**: likely to oppose the issue  **Undecided**: if the individual is undecided | **Past Voting Record**   * **Support:** City Ord No 2008-15 prohibiting smoking in City parks * **Support:** Resolution 2012-54, City Council resolution to foster a healthier City by encouraging residents, visitors, and business to eliminate secondhand smoke in outdoor areas * **Support:** City Ord No 2010-08 taxing sugary sweetened beverages * **Oppose:** City Ord No 2013-18 permitting marijuana businesses | **Current Affiliations**   * Boys & Girls Club * Kiwanis Club   **Past Affiliations**   * Past-Chair of the Library Task Force * Past-President of the Friends of the Public Library * Past-Treasurer and Past-President of The Educational Foundation * Founding member and Past-President of Community Active Living Society   **Political Allies**   * Congressmember Name * County Supervisor Name * Assemblymember Name * Chair, Local Democratic/Republican Party |
| **Family Life**   * Spouse/Partner: Name, Graduated from a local University, Professor of Public Policy * Three children who attend local elementary and middle school * Both parents are involved with their local elementary PTA |
| **Occupation**   * CA State Legislature - worked for former Assemblymember B * Community Services Commissioner, Appointed position (2007–2009) |
| **Interests**   * Enjoys walking and hiking, gardening, and has a menagerie of pets. * Volunteers in various community-based organizations. * Works with the Kiwanis Club at Monday Night Concerts in the Park. |
| **Education**  Alumnae of local high school and local university with MA in Liberal Arts. |
| **Campaign Platform**  “The future of our City demands that we invest in our infrastructure and our citizens, and one of the ways we need to do that is by attracting vibrant new businesses that generate sales tax that fit the needs of our community.” |
| **Other**  Yoga teacher at a local community college and an active volunteer in community and schools. |